U. S. Agency for International Development (USAID)
Bureau for Humanitarian Response (BHR)
Office of U. S. Foreign Disaster Assistance (OFDA)

Humanitarian Assistance Results Reporting Information System (HARRIS)

User's Manual for the Implementing Partners Module

Version 2.0
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Acknowledgements:

Versions 1.0 and 1.1 of HARRIS were written and maintained by Checchi - Louis Berger International, Inc. (Washington, DC).

Version 2.0 of HARRIS was developed and maintained by PricewaterhouseCoopers LLP (Arlington, VA), working in conjunction with Turner, Harper & Associates, Inc. (Gaithersburg, MD).

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INTRODUCTION

What is HARRIS?

The Humanitarian Assistance Results Reporting Information System (HARRIS) is a free software package available from USAID/BHR/OFDA to facilitate grant proposal writing and report writing for OFDA field programs. Intended for PVOs and NGOs who receive disaster assistance grants from OFDA, HARRIS contains two modules: (1) HARRIS Implementing Partners Module and (2) HARRIS OFDA Module.

What is the HARRIS Implementing Partners (IP) Module?

The HARRIS IP Module was designed for use by Implementing Partners (PVOs and NGOs) in the field to develop and submit grant proposals and related performance reports to USAID/BHR/OFDA. This module:

- *Significantly reduces the burden of proposal development and report writing* by eliminating guesswork. A series of screens prompts a proposal author to enter names and telephone numbers, identify goals and objectives, and plan a budget.

- *Improves credibility of OFDA programming through clear and uniform reporting.* HARRIS provides a list of vulnerable populations, crisis types, sectors, and delivery standards to foster the use of standardized terminology. “Drop-down” menus also offer choices of sector-specific, field-level performance indicators with definitions and measurement units. These lists are intended to facilitate and simplify the proposal and report writing process, but users can always add new terms to a list.

- *Allows for quantitative reporting as well as substantial qualitative reporting* on program activities and performance.

- *Allows implementing partners to report on what they accomplish in the field in terms of their own program objectives.* This minimizes the complexity and burden of reporting while significantly improving the richness and quality of the performance data reported to BHR. The availability of performance data generated from the IP module will help enhance project management for grantees, OFDA, and USAID.

- *Links grant proposals and performance reports.* Quantitative and qualitative data on program activities entered in grant proposals become the framework of later performance progress reports. This helps foster the routine collection and entry of performance data and reduces the number of retroactive searches for data to satisfy information requests from BHR offices.

- *Simplifies report formatting and printing.* Pulls information from grant proposals (such as names, addresses, and reporting parameters) for use in later progress reports. Automatically formats grant proposals and reports to follow OFDA's "Grant Proposal and Reporting Guidelines", published in October 1998 (see page 11). Prints proposals and reports or saves them in soft-copy that can be attached to an e-mail message and sent to colleagues, headquarters' offices, and OFDA.

- *Sends field data to OFDA/Washington.* Stores data from individual grants in a "data file", which will be sent to OFDA/Washington and imported into HARRIS's OFDA Module for analysis of OFDA's worldwide activities.

What is the HARRIS OFDA Module?

The second part of HARRIS is the OFDA Module, designed for use by USAID/Washington to consolidate, analyze, and generate performance and management reports on its worldwide portfolio.

- Consolidates "data files" from OFDA's grantees.
- Provides more information to justify funding for OFDA programs.
- Provides analytical tools to report on OFDA program performance and results of its objectives to different audiences.

About HARRIS Version 2.0

HARRIS Version 2.0 is an improved version of the program. Improvements were based on feedback from other users, especially about the Grant Proposal section. The overall structure and concept of HARRIS has not been changed; for example, you may find that the Grant Modifications section is inadequate to meet the demands OFDA places on your program.

OFDA leadership is committed to streamlining grant proposal and reporting processes by using systems like HARRIS, and there may be a radically redesigned version of HARRIS available on the Internet in the next year or two. If you have ideas, large or small, about how HARRIS could be improved to meet your needs, please contact the people listed on the inside cover of this manual. Your input will ensure that the whole OFDA community benefits from your experience. Thank you.

System Requirements

The HARRIS IP Module is distributed as an executable program that does not require any other commercial software. This run-time version requires:

1. Microsoft Windows 95 or later operating system
2. 16 Megabytes of RAM (32 Megabytes preferred)
3. At least 24 Megabytes of Hard Disk space on the designated disk drive.
4. A CD-Rom drive to install the program. If your computer does not have an internal CD-Rom drive, you can borrow and external CD-Rom drive just for the installation. You will not have to use the CD again.

The Program is distributed on a compact disk (CD). HARRIS.EXE will be installed in the c:\Program Files\Harris_IP folder. This run-time version will require approximately 22 megabytes, and its data file will initially require about one megabyte.

How to install HARRIS

The instructions depend on whether or not you have previously installed HARRIS. Follow the check marks below (✍) to see what steps you need to follow. If you are sure that HARRIS is not installed on your computer, you may jump to Step 5. If you need any help during installation, call the number listed in the inside cover of this manual.

(Note: Because each person's computer is set up differently and because there are multiple pilot versions of HARRIS circulating, it was not advisable to create an automatic program for installation. Following the steps below is the best way to ensure that any grant information you have previously entered is not lost.)

Steps to follow	If you have HARRIS	Don't Know	If you don't have HARRIS
1. **Find out if you have previous version(s) of HARRIS installed on your computer.** Click the start button (on the bottom left of your screen), then click Setting, then Control Panel. In the Control Panel double-click the Add/Remove Programs icon. If you see the program named **HARRIS IP Module (97)** it means you have HARRIS version 1.1, and if you see the program named **HARRIS IP Module** it means you have HARRIS version 1.0.		✍	
2. **Preserve grant data you entered in previous versions of HARRIS (Optional).** Open HARRIS and see what Version number appears in the lower left-hand corner of the HARRIS Main Menu. ✍ If Version 1.0, open Windows Explorer and go to the C:\Program Files\Harris_IP folder. Copy the HarrisIPData.mdb file to C:\Temp folder. Make sure the file exists in both folders (not the shortcut). Rename the file in the C:\Temp folder to oldHarrisIPData.mdb ✍ If Version 1.1, open Windows Explorer and go to the C:\Program Files\Harrisip folder. Copy the HarrisIPData.mdb file to C:\Temp folder. Make sure the file exists in both folders (not the shortcut). Rename the file in the C:\Temp folder to oldHarrisIPData.mdb	✍		
3. **Uninstall previous version(s).** Open the Control Panel, double click the Add/Remove Programs icon, highlight the ✍ Harris IP program ✍ And/or Harris IP Module (97) program Click the Add/Remove button. Completely uninstall the	✍	✍	

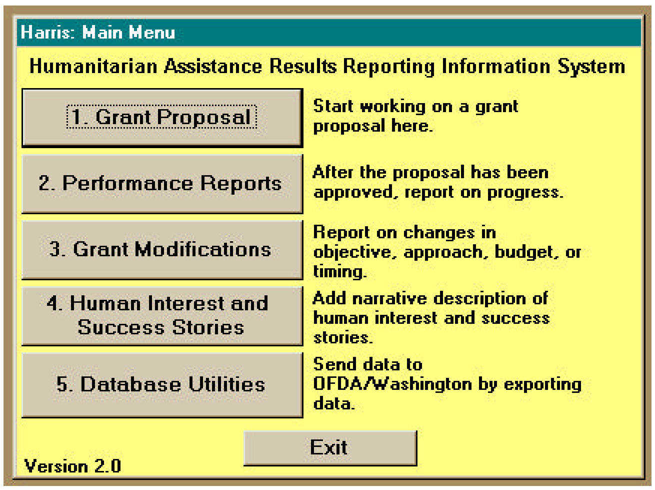
	Steps to follow	If you have HARRIS	Don't Know	If you don't have HARRIS
	program. Repeat if necessary if you have multiple versions installed.			
4.	**Search for old files just to be safe.** Open the Windows Explorer. Click the Tools menu, Find, Files or Folders. In the dialogue box click the Name & Location tab. In the Name field type in *harris*, in the Look in field type in "C:\". Click the Find Now button. Note all the folders found. Repeat for all the hard drives you have (if more then one). Note: Delete any folders with the name HARRIS, but DO NOT DELETE C:\Temp\HarrisIPData.mdb if you created it in Step 2!!)	✍	✍	
5.	**Install HARRIS Version 2.0.** ✍ Close all other programs. ✍ Insert the HARRIS Compact Disk into your CD drive. If it starts automatically, follow the directions on the screen. ✍ If it doesn't start automatically, click the **Start** button in the lower-left corner of your computer screen ✍ Choose **Run** on the Start Menu. ✍ Type **d:\setup** in the blank space and click **OK**. If that doesn't work, select **Browse** and double-click on the icon for your CD-Rom drive. ✍ Follow the instructions in the Setup Program and choose **Typical Installation**. ✍ Do not change any of the default settings or locations during setup!! ✍ If you get an error message such as "could not write to the file c:\windows\system\wininet.dll", choose **Ignore**.	✍	✍	✍
6.	**Substitute your grant data for the default data.** ✍ Delete the file C:\Program Files\Harrisip\HarrisIPData.mdb ✍ Copy the file C:\Temp\oldHarrisIPData.mdb to the folder C:\Program Files\Harrisip (make sure you are pasting a copy of the real file, not a short-cut) ✍ Rename the file C:\Program Files\Harrisip\oldHarrisIPData.mdb into C:\Program Files\Harrisip\HarrisIPData.mdb	✍		

How to Start HARRIS

Unlike installation, starting the HARRIS IP Module is easy!

1. Go to the **Start** button on the lower-left corner of your computer screen.
2. Choose **Programs** folder.
3. Choose **HARRIS IP Module** folder.
4. Choose **HARRIS IP Module** icon.

You will now see the main menu, which has five buttons. Please refer to the directions for each section.



BACKGROUND: USAID'S MANAGING FOR RESULTS CONCEPTS AND TERMS

HARRIS is based, in part, on USAID's Managing For Results policies and principles, which were introduced in early 1990 and reinforced by the Government Performance and Results Act (GPRA) of 1993.

GPRA requires all U.S. government agencies to develop strategic plans, to identify objectives, and to measure performance against those objectives. To comply with GPRA requirements and to enhance the effectiveness of USAID's programming, the Agency re-engineered its operations and adopted a Managing For Results policy. This policy emphasizes managing end results closely associated with improving the conditions of customers. For USAID's Bureau for Humanitarian Response (BHR), the ultimate customers are the beneficiaries of USAID's material and technical assistance, such as disaster victims and vulnerable populations in targeted host countries.

Under the Managing For Results approach, the key to success is involving all stakeholders from inception to execution of humanitarian assistance programs. This means involving USAID Missions, other donors, collaborating PVOs and NGOs, host-country counterparts and program beneficiaries in the development, implementation and management of programs. When all relevant stakeholders are engaged, resources are better utilized, funds are better leveraged, results are relevant and an efficient and effective hand-over of program activities to local counterparts or other entities is more likely.

To aid in implementing the Managing For Results policy, USAID has developed specific concepts and terms for articulating strategic plans and a framework for measuring the progress and effectiveness of its humanitarian assistance programs. HARRIS is based on these concepts and terms. Therefore, when developing grant proposals using HARRIS, you will be asked to state specific results to be achieved and indicate how you will measure progress toward achieving those results. Stated results must relate to improving the well-being of the people being assisted. This section summarizes USAID's strategic planning and performance measurement concepts and terms as they relate to the development of grant proposals and performance reports.

What are Goals, Strategic Objectives, Intermediate Results?

USAID defines a *goal* as the longer-term result to which you will contribute, but are not responsible to achieve. A goal is usually not achievable over the life of your program; however, your program does contribute to the achievement of the goal. *Objectives* (USAID uses the term strategic objective) are the end results you seek to achieve through your proposed program. *Intermediate results* are results that have to happen before the longer-term objective can be achieved. When developing a grant proposal you will be asked to state the overall goal to which your program will contribute plus specific objectives of your proposed program. You may also choose to identify intermediate results leading to the achievement of your program objectives.

A program's goal, objectives and related intermediate results should be stated as results, not as actions, processes, or activities. They are result statements because they reflect the end outcomes of your intervention. Result statements are usually stated in the past tense of an action verb. Some examples include:

- ✍ Reduced incidence of morbidity of children under five
- ✍ Improved food security among the targeted population
- ✍ Reduced incidence of cholera among targeted population.

What are Critical Assumptions?

As you plan your program, you will always be making assumptions about the security situation and/or the social, economic and political environments under which your intervention will be implemented. These are called *critical assumptions* in the Agency's Managing For Results terminology. They are conditions outside your or USAID's control. When included as part of your grant proposal, critical assumptions answer the question, "assuming what?" Critical assumptions will need to be tracked, their status known and their impact on your program understood. HARRIS will ask you to identify critical assumptions. Examples of critical assumptions are:

Critical Assumptions for OFDA Objective 1: Food Security Improved:

- ✍ Assuming that the current government remains stable and that there is no eruption of civil unrest or war expected
- ✍ Assuming that the target population is not further displaced and remains in its current location.
- ✍ Assuming that other collaborating partners do implement agreed upon activities, such as the reparation of roads and main bridges.
- ✍ Assuming that food rations arrive on time.
- ✍ Assuming that weather conditions are favorable to a normal harvest, and that infestation and other crop damage does not occur.

What are Performance Indicators?

As part of your grant proposal, you will be asked to develop a performance monitoring and measurement plan. Each objective and intermediate result will need to have at least one indicator to track progress of its achievement. *Performance indicators* are variables with a particular characteristic or dimension used for measuring progress toward achievement of a stated result (objective/intermediate result). They answer whether progress is made toward achieving stated results/objectives, but do not answer why or why not such progress is being made. Good performance indicators are the foundation for a sound performance measurement plan.

Performance indicators must be direct, measurable, and sensitive to capture small changes over short time intervals. They must also be relevant, practical, and cost-effective. Visualize performance indicators as signposts that tell you, at any given moment, where you are and how far you are from your destination. They are observations or measurements taken at a point in time or over a period of time—days, weeks, or months. There are several types of indicators:

Impact or result indicators measure the fundamental changes in people's well-being. OFDA is particularly interested in the use of *impact indicators* that focus on the impact of an intervention or program on recipients. Impact indicators may be more appropriate in the mid to late stages in the life of a grant. Some examples include:

- ✍ Immunization coverage rate (percent) of children under five vaccinated for measles, diphtheria, polio, pertussis, etc.
- ✍ Nutritional status of children under five at or above pre-determined cutoffs for nutritional status as measured by edema, MUAC and/or weight-for-height.

An *output/process* indicator measures the output of your intervention, such as the following:

- ✍ Quantity of essential drugs by type delivered and distributed to health units
- ✍ Number of community health workers trained
- ✍ Percent of people in target population provided access to adequate potable water.

Effect indicators gauge the degree of behavioral change in the assisted population. Indicators such as degree of change in people's attitudes to the importance of pre-natal care, or the change in people's perception on breast-feeding, hygiene, or security indicate a change in attitude or behavior resulting from your intervention. Other examples of effect indicators include:

- ✍ Percent of people in the target population using health care facilities
- ✍ Number of people in the targeted population using pit latrines
- ✍ Average personal potable water consumption of women-headed house-holds

To facilitate the process of developing indicators for OFDA-funded programs, HARRIS includes a suggested list of sector-specific, field-level performance indicators (also printed out in Annex 6: Menu of Indicators on page 87). In Tab 1.6.2, you can select from this list of indicators or develop new indicators more appropriate for measuring the stated objectives of your program. The indicators are clustered by sector and is by no means complete. The indicators on the list will be tested and revised based on field experience.

What are Baselines and Targets?

For each performance indicator, you will need to establish a performance baseline and set a performance target. *Performance baseline* is the value of a performance indicator prior to activity implementation. It is one element used in measuring progress toward a specific result or objective. A *performance target* is the specific and intended result to be achieved within an explicit time frame and against which current performance is compared and assessed.

Depending on the type of performance indicator being measured, the baseline data can be a point-in-time observation, a cumulative value, or an average value over a relevant time span. Data elements needed to establish the baseline for each performance indicator are set relative to the result being measured. In general, the crisis-assessment reports are the main sources of baseline data. The data from these sources are augmented by data gathered through rapid assessments, including focus group discussions, and observations. In addition to the baseline, expected performance targets need to be established for each indicator. The magnitude of expected performance targets depends on what is within your manageable interest.

Establishment of baseline and expected performance targets should be a collaborative effort among participating stakeholder, including host country entities. All parties should agree on the methodology, the baseline, and the performance target levels. You may also consider where, when and how you will collect data.

What is Measuring Progress Toward Achieving Objectives?

To assess progress toward each program objective and intermediate result, you must be able to measure the associated performance indicators. Indicators can be measured quantitatively or qualitatively.

Quantitative measures answer questions such as “how many”, “how much” and “what percent”. You can count the number of people you trained; the number of people given micro-credit to re-establish their livelihood; the amount of food delivered; and so on. Sources of data for quantitative indicators can be derived from administrative records, health clinic records, invoices, and training sign up sheets.

Qualitative measures are subjective and will require indirect methods to quantify. Qualitative measures relate to measurement of people’s attitudes, perceptions, well-being, and so on. For qualitative indicators, some of the relevant data sources include: experts’ observations; focus group discussions; interviews; rapid assessments; testimonials; quotes and references by the host government; and data gathered by other organizations. It is important to realize that interpretation of qualitative data is very subjective. Results can vary according to how they are interpreted by the person collecting the data. Care should be taken to verify qualitative data with quantitative data when possible.

Progress toward achieving stated results is measured by comparing the change from the baseline value of a specific performance indicator to its performance target. For example, if the stated result is “critical emergency needs of disaster victims met” and if one of the performance indicators is mortality rate, the performance measurement plan contains three sets of data:

- ✍ baseline mortality rate = 15/10,000/day;
- ✍ target mortality rate = 5/10,000/day;
- ✍ current mortality rate = 9/10,000/day.

Progress is measured as [(current value) minus (baseline value)] divided by [(target value) minus (baseline value)] times 100%. In this example, the percent progress toward achieving the target is computed as [(9-15)/10,000/day] divided by [(5-15)/10,000/day] times 100%, which is equal to 60%. Therefore, on the basis of this indicator you have made a 60% progress toward the achievement of this target.

BEFORE YOU BEGIN

Gather materials before you begin

The HARRIS IP module is a stand-alone program that does not require any knowledge of databases or spreadsheets. When ready to develop a grant proposal you should gather together reference information such as:

- ✍ damage assessment data
- ✍ data on host-country local conditions
- ✍ local capacities to respond to the crisis
- ✍ affected population's traditional crisis coping mechanisms
- ✍ your organization's capability statement.
- ✍ budget information
- ✍ financial reports and data.

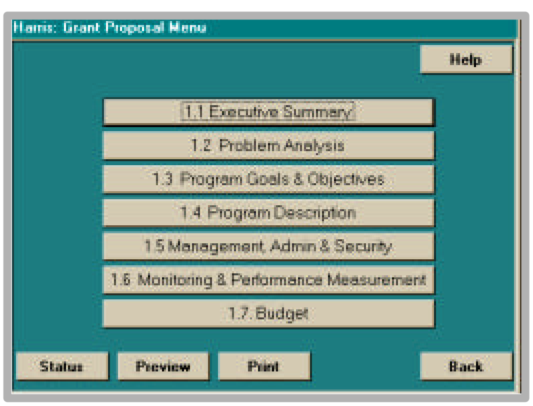
It is also helpful to gather together all your performance monitoring information and discuss it with your proposal team:

- ✍ number of beneficiaries to be assisted
- ✍ Kinds of goals, objectives and activities relevant to your proposed project
- ✍ Kinds of indicators plus their baseline and target values

OFDA's Guidelines for Proposals

The basic requirements for all grant reports are described with examples in the OFDA "Grant Proposal and Reporting Guidelines", published in October 1998 (see www.info.usaid.gov/hum_response/ofda/files/pvoguide.pdf).

HARRIS is designed to meet these requirements. For example, the Guidelines provide seven areas to a Grant Proposal; the seven areas match the seven buttons with the Grant Proposal Main Menu as seen below:



For more guidance on measurement and evaluation in OFDA programming, please contact Juanita Rilling (see address on inside cover of this manual).

Overview of HARRIS sections

The HARRIS IP Module is organized into five main sections as follows:

Grant Proposal: This button will take you to the proposal writing screens. Click on this button if you are developing a grant proposal or entering data for an existing approved grant.

Performance Reports: This button takes you to the Performance Report screens. You cannot enter data into this section unless you enter the proposal information in Grant Proposal. Once the proposal has been approved, you can report on performance against objectives and provide explanation for adjustments and changes to the project. Explain changes in assumptions, explain delays, move funds between program activities, and so forth.

Grant Modifications: This button is used is used to enter OFDA-approved modifications for an existing approved grant. Consult your Regional Coordinator at OFDA/Washington for guidance on whether it is most appropriate to use a Grant Modification, Performance Report, or revised Grant Proposal for your particular situation.

Human Interest and Success Stories: This button takes you to a screen where you can write a human interest or success story.

Database Utilities: This button takes you to a series of tabs for archiving, exporting and deleting grant files.

Typing Tips

Sequence of screens and buttons

It is very important to complete the HARRIS sections sequentially because the sections build on each other. For example, the screens that describe the nature of the crisis in the Grant Proposal section help you determine the parameters for program design, which in turn is the basis for the performance measurement plan.

If you start browsing through HARRIS to look at the questions, you will see that you cannot enter data in some sections since they depend on data entered in prior screens. Specifically, you need to develop a grant proposal before you can develop a performance report, grant modification, or human interest story.

You may exit a screen anytime and return to it at a later date, but you may not proceed to subsequent screens unless you have completed the previous one.

Help Button

Help buttons on each screen explain every data field. Information in this User's Manual is repeated in the Help screens. When you click on certain buttons, cartoon balloons pop up to describe what the button is for.

Saving and Deleting

In a few places, HARRIS is marked with a special Save button to save some sophisticated analysis you have entered. In all other cases, HARRIS automatically saves as you go. Each field on the screen is saved as soon as you click your mouse someplace else on the screen. If you are in doubt as to whether your typing was saved, click on another Tab or Section and return to the Tab you were working on.

There are several options for deleting unwanted text.

- Manually delete by placing your cursor next to the unwanted text and use the **Backspace** or **Delete** keys on your keyboard. This will delete one letter at a time.
- Press **Esc** on keyboard: Escape will erase your most recent typing, such as a date entered in a format other than MM/DD/YYYY. Be careful because Escape will even undo what you have typed into a long memo field.
- **Undo Typing** or **Undo Current Field/Rec** on the HARRIS Menu (upper right-hand corner of the computer screen). This command sometimes deletes the word you just typed; but this command can also erase everything you have typed into the current screen!

Only objectives, intermediate results and indicators are treated differently. **There are special buttons that allow you to delete objectives (in Tab 1.3.2) and indicators (in Tab 1.6.2).** If you delete Objective 1, it will delete all the associated intermediate results and activities under that objective and renumber the objectives and intermediate results and activities accordingly. To **delete an intermediate result**, you will have to delete all intermediate results for that objective by choosing "Do you have intermediate results – NO" in Tab 1.3.2.

Using Drop-down buttons

HARRIS provides many lists from which to select certain categories of information. It may be a list of countries, target groups, sectors or indicators. Simply click the down arrow to the right of the selection box and an appropriate list/menu will pop up. If you want to add a new item to the list, select **<<New>>**, **Other**, or **New** (depending on the list) from the list and then type in the new item.

Enlarging Memo Fields

As you type your grant proposal and performance report, you will see "memo" fields where you will be asked to explain or describe a situation in detail. Memo fields also provide substantial opportunities for entering qualitative information and narrative sections to explain or describe the situation in detail. You may either type directly into the box or draft these sections in word processing software (such as Microsoft Word or WordPerfect) and cut/copy and paste to the database window in the appropriate box.

Sometimes these memo fields look like just one line, but you can actually type 2-3 pages of text. You may hit **Control + Z** on your keyboard to enlarge the size of the memo field as you type your text. These memo fields permit you to develop a proposal or a performance report that reads like a typed proposal or report.

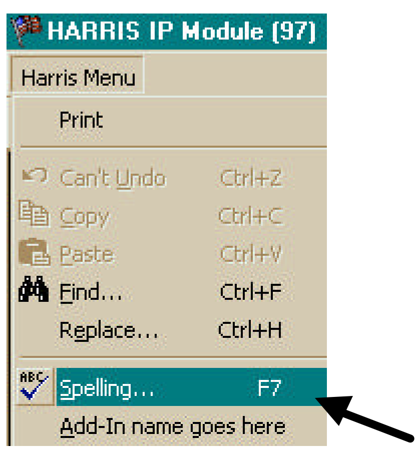
Cut and Paste Text

You can type directly into "memo" fields. Or, you can cut and paste text from a word processing program (such as Microsoft Word or WordPerfect). For example, you might want to develop the following narrative sections in a word processor before you start HARRIS:

- ✍ Nature and magnitude of the disaster/crisis and its potential impact.
- ✍ Demographic profile of the affected population: how many women, children, elderly; ethnic/religious groupings; and health status.
- ✍ How the affected population copes with the crisis and an assessment of local capacities to respond to the crisis (including full range of social/organizational, physical/material, psychological/motivation/attitudinal systems and political/economic relations).
- ✍ Overview and justification for your proposed program.
- ✍ Brief statement of your organization's capacity to implement the proposed program.

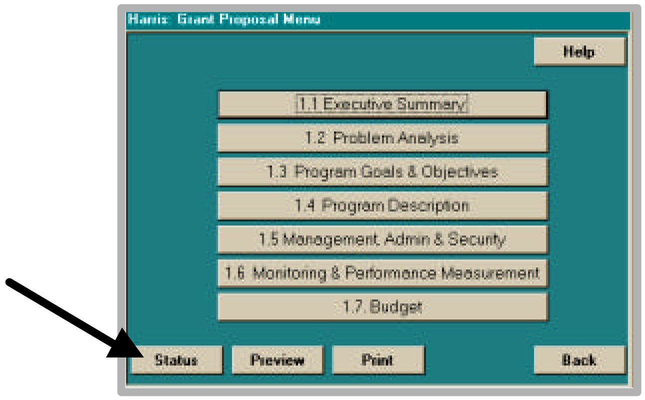
Spell Check

You can spell check what you have written on each screen by choosing the **HARRIS Menu | Spelling** from the upper left-hand corner of your computer screen, as shown below. You may only spell check **one** screen at a time. Unfortunately, the spell check function will **not** spell check the entire grant proposal or performance report.

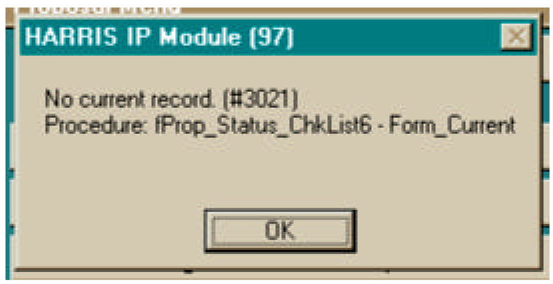


Status Button

The Status button is available in the Grant Proposal Main Menu and the Performance Report Main Menu. The purpose of the Status button is to help you identify which sections of the Grant Proposal or Performance Report are incomplete before you print the reports. You can still print a report if the information is incomplete, and you may not notice that anything is missing from the printout. But we recommend that you use the Status button to test for completeness before you submit a proposal in order to reduce the likelihood that OFDA will ask for more complete information later.



If you get the following error message when using the Status button, please ignore. It just means that your data is incomplete.



Exit and Back

You may close any screen by clicking the **Back** button. You may exit the whole HARRIS program by clicking **Exit** from the main yellow menu screen. You will not lose any data, because HARRIS saves each field when you click outside the field.

You may exit a screen anytime and return to it at a later date, but you may not proceed to subsequent screens unless you have completed the previous one.

Help me! My computer is stuck!

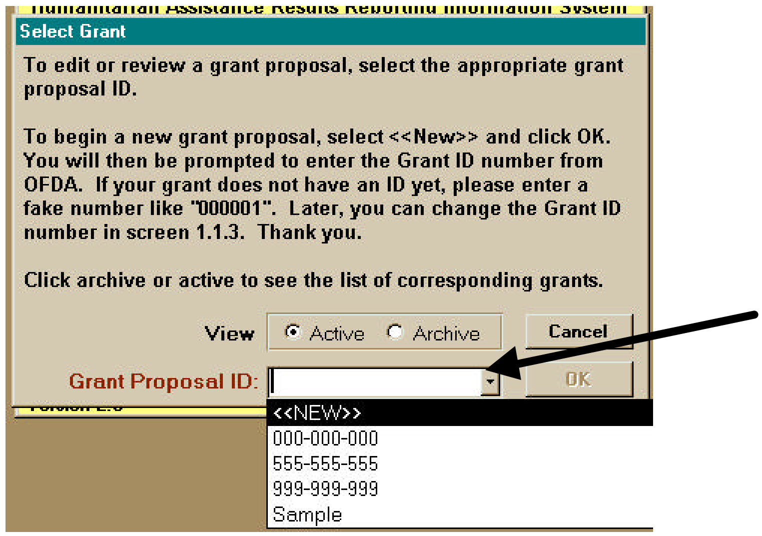
If you are stuck, try using the **Esc** key on your keyboard. Use the **Back** button on the screen to leave the current Tab or Section. If you think something is wrong with the application or your computer, choose **Exit** from the Main Menu in order to close the program. Shut down your computer and restart. If the problem happens again, contact the support number listed on the inside cover of this manual.

HOW TO WRITE A GRANT PROPOSAL

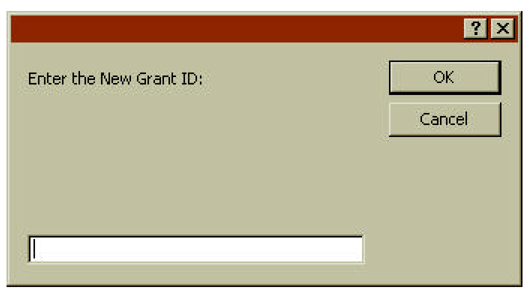
1. Follow instructions "How to Start HARRIS" on page 6.

2. Choose the **Grant Proposal** button.

3. A dialogue box called **Select Grant** will appear. To enter a new grant, click on the drop-down menu arrow and choose **<<New>>** and then click **OK**.



4. If your grant proposal has already been approved and has been given a Grant ID Number, enter the number now and press **OK**.

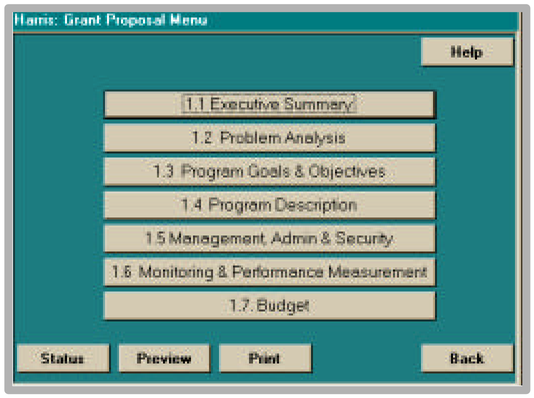


5. If your grant proposal has not yet been approved by OFDA and does not yet have a Grant ID Number, enter a temporary Grant ID Number like "Temp0001" and press **OK**. Later, you can change the temporary Grant ID with the real Grant ID by going to Tab 1.1.3.

6. Welcome to the Grant Proposal Menu.

Overview of Grant Proposal section

The seven buttons in the Grant Proposal Main Menu match the seven sections to a proposal suggested in OFDA's Guidelines (for more information about the Guidelines, see page 11).



1.1 Executive Summary requests data about your headquarters and field offices as well as general information on your proposed grant.

1.2 Problem Analysis takes you to a series of tabs requesting information on: (1) general rationale for your proposed project; (2) nature of the disaster/crisis; (3) profile of the affected population; (4) coping mechanisms and local capabilities of the affected population; and (5) groups targeted for immediate emergency assistance. The target groups identified in this section will form the list of groups you will select from as you develop program objectives and define program activities. **You need to complete this screen before proceeding to subsequent screens.**

1.3 Program Goals and Objectives asks you to: (1) describe your overall program goal and overview; (2) state your program objectives, intermediate results, and related activities; and (3) list the critical assumptions binding your objectives. The data entered in these screens will form the basis for your monitoring and performance measurement plan. (4) Finally, you will be asked to describe specific design issues, such as involvement of the targeted groups in program design, management and performance monitoring; and incorporation of affected populations' traditional coping mechanisms, local capacities, gender and security in your program design.

1.4 Program Description/Design requests information on (1) implementation of logistics plan and requests for capital equipment; (2) context-specific programming; (3) how you plan to take into account and enhance local capacities; (4) how you plan to coordinate and collaborate with other donors and local counterparts; (5) how you plan to link relief to development; and (6) ways to reduce possible negative impacts of the project.

1.5 Management, Admin & Security is where you describe your organization's management structure and capabilities to implement the proposed program. You will also be asked to explain your operations and exit plans, detail in-kind contributions, and describe the security situation and how you plan to safeguard the well-being of your program staff in the field.

1.6 Monitoring & Performance Measurement walks you step-by-step through the development of a performance measurement plan. (1) It asks you to describe your monitoring plan. Then you will develop a performance measurement plan by (2) selecting performance indicators for each objective and intermediate result from a list of pre-established indicators (or developing your own), (3) establishing baseline data and setting performance targets; and (4) developing a timeline of major activities and events. Finally, when your grant proposal is approved, (5) you will need to enter your OFDA-agreed upon performance reporting schedule.

1.7 Budget Analysis button opens up tabs that help you to develop the budget for your grant proposal. First a summary of the activity costs you already entered in Tab 1.3.2 is totalled. Then you will be asked to (2) enter program performance monitoring and measurement costs; (3) estimate program management costs (such as staff costs, transportation and communication costs, equipment and supplies costs, subcontracting and G&A costs); and (4) estimate your contribution (in-kind and cash) and funds provided by other donors. In this section you will also be asked to (5) explain the methodology you used to estimate your costs.

We recommend that you start with Executive Summary and Problem Analysis before proceeding with the other screens.

1. Executive Summary

Executive Summary requests data about your headquarters and field offices as well as general information on your proposed grant.

You may exit any screen in this section and return to it at a later date, but you may not proceed to subsequent tabs or screens unless you have completed the previous one.

Tab 1.1.1 HQ Contacts

Provide information about your organization, where it is headquartered and the headquarters' address. In addition, you will need to complete information on contact persons at the headquarters office whom OFDA may contact for clarification or information regarding this grant proposal. After choosing the acronym of the organization, the organizations full name and address will populate automatically. If the information is wrong, please type over and provide the right information.

- ✍ **Org. Acronym:** Click on the down arrow to the right of the selection box to bring up a menu of acronyms (abbreviations) for most organizations working in humanitarian assistance. Select your organization from the list. If your organization is not on the list, you can add it by selecting **New** and writing in the acronym for your organization.

- **Org. Type:** This space will be filled in automatically when you select your Org. Acronym. If you entered a new acronym, or the information is incorrect, click on the down arrow to the right of the selection box to view the list of types of humanitarian assistance organizations (PVO, NGO, or IO [international organization]) and select the type of organization that best describes your firm

- **Organization:** When you select the abbreviation of your organization in Org. Acronym, the full name of your organization may appear automatically in this space. If it does not appear, or it is incorrect, type the correct name of your organization in the space provided.

- Address: This should come up when you select your Org. Acronym. Please make sure that the address is current. If not, type the current address of your headquarters office.

- **City:** This should appear when you select your Org. Acronym. You may also type in the current city where your headquarters is located.

- **State:** Enter the abbreviation of the state or province where the headquarter office is located.

- **Zip:** Enter the zip code or postal code for the address of the headquarter office.

- **Country:** Click on the down arrow to the right of the selection box to bring up a list of countries. Select the country where the headquarters is located. Since the country list is not alphabetical, try typing the first few letters of the country name; it should appear automatically.

- **Tel:** Enter the general telephone number of the headquarter office. Be sure to include the country code plus area code or city prefixes (the country code for the United States is “1”).

- **Fax**: Enter the general fax number of the headquarter office. Be sure to include the area code or the country and city prefixes.

- **Contact 1:** Type in the name of the primary contact person for this grant proposal.

- **Tel 1:** Enter the telephone number of the primary contact person listed above. Be sure to include the country code plus area code or city prefixes (the country code for the United States is “1”).

- **E-mail 1:** Enter the e-mail address of contact person 1.

- **Fax 1:** Enter the fax number for contact person 1. Be sure to include the area code or the country and city prefixes.

Tab 1.1.2 Field Contacts

Requests the field office responsible for implementing the proposed program, where it is located, and the contact person(s) familiar with the program.

- ✍ **Org. Acronym:** This appears automatically based on the “Org Acronym” entered in the previous screen (HQ Contacts).

- ✍ **Field Office Location**: Click the down arrow to bring up a menu of countries. Select the country where the field office is located. The Field office for a specific country may be located in a different country (e.g. the field office for Sudan may be located in Kenya). Since the country list is not alphabetical, try typing the first few letters of the country name; it should appear automatically.

- ✍ **Office For**: Click on the down arrow to bring up a menu of countries. Select the country for which the field office is named. For example, if the field office is in Honduras, and it is the field office for Honduras, you would enter Honduras. However, for security reasons, your field office for Sudan may be located in Kenya. Thus, the field office location does not always indicate the country for which the intervention is designed. This is why you need to enter the country where the field office is located. Since the country list is not alphabetical, try typing the first few letters of the country name; it should appear automatically.

- ✍ **Organization:** When you select the abbreviation of your organization from the “Org. Acronym” menu, the full name of your organization may appear automatically in this space. If it does not appear, or it is incorrect, type the correct name of your organization in the space provided.

- ✍ **Address:** This may come up when you selected your Org. Acronym. Please make sure that the address is correct. If not, type in the current address of your field office.

- ✍ **City:** List the city where the field office is located.

- ✍ **State:** Type in the U.S. postal two-letter abbreviation for the state where the field office is located, if appropriate.

- ✍ **Zip:** Enter the zip code for the address of the field office, if appropriate.

- ✍ **Country:** *Do not fill in.* The name of the country appears automatically when you entered above under “Field Office”.

- ✍ **Tel:** Enter the general telephone number for the field office. Be sure to include the country code plus area code or city prefixes (the country code for the United States is “1”).

- ✍ **Fax:** Enter the general fax number for the field office. Be sure to include the area code or the country and city prefixes.

- ✍ **Contact 1:** Write in the name of the primary field contact person for this grant proposal.

- ✍ **Tel 1**: Enter the telephone number of the primary field contact person listed above. Be sure to include the country code plus area code or city prefixes (the country code for the United States is "1").

- ✍ **E-mail 1**: Enter the e-mail address of field contact person 1.

- ✍ **Fax 1:** Enter the fax number for field contact person 1. Be sure to include the country code plus area code or city prefixes (the country code for the United States is "1").

- ✍ **Contact 2:** If appropriate, type in the name of the secondary field contact person for this grant proposal. This person should be familiar with the proposal and be able to answer questions about it in your absence.

- ✍ **Tel 2**: Enter the telephone number of the secondary field contact person listed above. Be sure to include the country code plus area code or city prefixes (the country code for the United States is "1").

- ✍ **E-mail 2:** Enter the e-mail address of field contact person 2.

- ✍ **Fax 2:** Enter the fax number of field contact person 2. Be sure to include the country code plus area code or city prefixes (the country code for the United States is "1").

Tab 1.1.3 Grant Information

Specify the grant proposal title, the country where your program will be implemented, proposed start up and ending dates, and grant type.

- ✍ **Date submitted**: Enter this date **only when you actually submit** your proposal to OFDA.

- ✍ **Country/Region:** *Do not attempt to type in this space.* The country appears automatically when entered in the previous screens.

- ✍ **Title of Proposal:** Write in the title of your grant proposal. The title can be up to three lines long.

- ✍ **Proposed Start-up Date**: Enter the date when you expect your program activities to begin. Enter dates using numbers and beginning with the month, day, and year. (e.g. 3/2/97)

- ✍ **Proposed Ending Date**: Enter the date when you anticipate your program activities will end. Enter dates using numbers and beginning with the month, day, and year. (e.g. 10/1/97)

- ✍ **Grant type:** Click on the down arrow to the right of the selection box to bring up a menu of types of grants. There are three types: (1) Prevention, mitigation and preparedness, (2) Disaster response and (3) Other. Select the type that best describes your proposal. If you select **Other**, type in the type of grant.

- ✍ **Grant ID Number from OFDA:** The same Grant ID-number you selected to begin this grant proposal should appear automatically in this field. *If your grant has been approved by OFDA, enter the approved grant ID number here.*

- ✍ **Proposed Grant/Approved Grant:** Click in the appropriate box whether this is a Proposed Grant or an Approved Grant. An approved grant is one that has been officially approved by OFDA.

If your Grant Proposal has been approved by OFDA, please also complete the following boxes:

- ✍ **Grant ID Number from OFDA**: Enter your OFDA approved ID number in this space. Also, in the field to the right, check **Approved Grant** box.

- ✍ **Date Approved**: Enter the date that the grant proposal was approved by OFDA.

- ✍ **Funds Approved by OFDA:** Enter the amount of funds approved by OFDA.

- ✍ **Program Startup date**: Enter the program start-up date approved by OFDA.

- ✍ **Program End Date**: Enter the program end-date approved by OFDA.

2. Problem Analysis

Problem Analysis takes you to a series of tabs requesting information on: (1) general rationale for your proposed project; (2) nature of the disaster/crisis; (3) profile of the affected population; (4) coping mechanisms and local capabilities of the affected population; and (5) groups targeted for immediate emergency assistance. The target groups identified in this section will form the list of groups you will select from as you develop program objectives and define program activities. **You need to complete all of the tabs in this section in sequence before proceeding to subsequent sections of the Grant Proposal.**

Tab 1.2.1 Rationale

- ✍ **Rationale** is where you write an introduction for the executive summary of your grant proposal. Write an overview and justification for the proposed program.

Tab 1.2.2 Background

- ✍ **Nature of Crisis:** This will come up automatically when you choose the **Crisis Type** below.

- ✍ **Source of Data:** Write in the source of the data used to complete the fields below. You may enter the name of your organization if you collected the data, or you may enter a secondary source - an organization other than your own which collected the data. You may enter up to 50 letters in this space.

- ✍ **Disaster/Crisis Type**: Click on the down arrow to left of the selection box to bring up a list of crisis/disasters. Select the crisis you are responding to from the pre-established list. If the crisis you are responding to does not appear in the list, type it in the space provided.

- ✍ **Location:** In the space provided, type in where the crisis is located. This location should coincide with the epicenter of the crisis.

- ✍ **Date of Occurrence**: Enter the date the disaster occurred. For a continuing complex emergency enter the date of the current disaster declaration. You can obtain the date of the US disaster declaration from the local American Embassy or the USAID Mission.

- ✍ **Latitude/Longitude**: If possible, fill in the geographical coordinates for the location (epicenter) of the crisis or disaster. Enter latitude and longitude in degrees, minutes and seconds. (e.g. 20º16’23”S or 18º39’42”W)

- ✍ **Estimated Number of People Affected**: Write in the estimated number of people affected by the crisis.

- **Estimated Number of People Killed/Died**: Write in the estimated number of people killed or who have died as a result of this crisis, as of the date of your proposal.

- **Estimated Economic Loss**: Enter the estimated economic loss caused by the crisis.

- **Please describe the nature and magnitude of the disaster/crisis and its potential impact**: In the space provided, describe the disaster (such as earthquake, drought, or war), and the extent and nature of damage caused in terms of human lives and economic losses. You may enlarge the memo field as you type by hitting **Control + Z** on your keyboard

Tab 1.2.3 Affected Population

- **Category:** Click on the down arrow to the right of the selection box and select the category or type of the affected population. You may choose **Other** and type in the category.

- **Current Locations:** In the space provided, type in the current location(s) of the affected population. This location is important as the target population may have moved from the epicenter of the crisis. You may enter several locations, each one separated by a comma.

- **Latitude/Longitude**: If possible, fill in the geographical coordinates for the location(s) of the affected population. There is space to enter two location's coordinates. These should correspond to the first two locations entered in the previous field. Please enter coordinates in degrees, minutes and seconds. (e.g. 20º16'23"S, 8º39'42"W)

- **Estimated Numbers at Current Locations:** Enter the estimated number of affected populations at the location(s). Enter numbers per location, separated by a comma.

- **Provide a brief demographic profile of the affected population.** In the space provided type a description of the profile of the affected population. You may copy and paste your description from a draft using another word-processing software. You may enlarge the memo field as you type by hitting **Control + Z** on your keyboard

Tab 1.2.4 Capacities

- **Describe how the affected population** is coping with the current crisis. In your description consider the percentage of the population relying on support from relatives, wild food consumption, liquidation of personal assets including productive assets and dispersion of the family unit: In the space provided describe in some detail the coping mechanisms used by the affected population. You may enlarge the memo field as you type by hitting **Control + Z** on your keyboard

- **Assessment of local capacities to respond to the current crisis:** Click all the boxes that correspond to the systems that are currently functioning, albeit, not well.

- ✍ **Explain:** Write an explanation in the space provided. In your explanation, be sure to consider the full range of social/organizational, physical/material, psychological/ motivational/attitudinal systems, and political and economic power relationships.

Tab 1.2.5 Target Groups

Targeted Population requires that you list the groups that will be targeted with your intervention and describe their assessed needs. Targeted groups relate to groups that have been identified for immediate emergency assistance. **The targeted groups identified in this section will be the groups you will select from when defining your objectives and activities**. **You must complete this information before continuing with the proposal.** The overall aim of your proposed program is to meet the emergency needs of the target groups. Therefore, it is critical that you identify the target groups before proceeding to other sections of this grant proposal.

- ✍ **Targeted Group Type** : Click on the down arrow to the <u>left</u> of the selection box to bring up a menu of vulnerable groups, such as women, children, or the elderly. Click on one of the target groups you wish to enter. You may enter a targeted group not on the list by selecting **Other** and writing in the name of the group. OFDA expects priority of emergency assistance to the most vulnerable groups (such as children under five, pregnant and lactating women, or the elderly). Complete the following information-- **number targeted, target group classification, location, assessed needs, how needs were assessed, was a needs assessment conducted, and if yes, what type--** for each group selected before adding another target group. You will be able to select several target groups. Select all the groups that will be targeted by your intervention.

- ✍ **Number Targeted:** Write in the total number of people for each target group you select.

- ✍ **Targeted Groups Classification:** Click on the down arrow to the right of the selection box to display a menu. Select “IDP”, “Refugee” or “Other”. If you select “Other” type the appropriate description.

- ✍ **Location:** Write in the location of each of the targeted groups you select.

- ✍ **Delete Group**: Click on this button to delete a group you have already identified.

- ✍ **Add Group**: Click on this button to add another targeted group. Then go to the **Targeted Group Type**, click on the down arrow to bring up the menu and select a targeted group. You may enter a targeted group not on the list by selecting “Other” and writing in the name of the group. Be sure to complete the following information -- **number targeted, target group classification, location, assessed needs, how were needs determined, was a needs assessment conducted, and if yes, what type--** for each targeted group you select. You will see a reminder to this effect for each group. You can add several targeted groups.

- ✍ **Previous:** Click on this button to scroll back to the previous targeted group you selected.

- **Next**: Click on this button to scroll forward to the next targeted group you selected.

- **What are the assessed needs:** Describe the assessed needs for each targeted group you select. If you have targeted children under five, you will have screened them and determined which children are severely malnourished and need urgent medical care. See Annex 1: Examples of Situation Assessment in an Emergency on page 78 for an example for assessing emergency, medical and food needs of a targeted population.

- **How were these needs determined:** Describe how these needs were determined for each targeted group.

- **Was a Needs Assessment conducted**? Click either “yes” or “no” whether a needs assessment was conducted.

- **If yes, what type**: Click on the down arrow to the right of the selection box to bring up the menu, and select the type of needs assessment conducted.

- **All targeted groups**: Click this button to see a list of all the targeted groups you have already selected.

3. Program Goals and Objectives

Program Goals and Objectives asks you to: (1) describe your overall program goal and overview; (2) state your program objectives, intermediate results, and related activities; and (3) list the critical assumptions binding your objectives. The data entered in these screens will form the basis for your monitoring and performance measurement plan. (4) Finally, you will be asked to describe specific design issues, such as involvement of the targeted groups in program design, management and performance monitoring; and incorporation of affected populations' traditional coping mechanisms, local capacities, gender and security in your program design.

Do not begin this section until you have completed the Problem Analysis section. In this section you will be asked to articulate exactly what you are proposing to accomplish and how you plan to accomplish it. The information entered in this section forms the critical part of your proposal. Subsequent sections rely on the information provided in this section.

Tab 1.3.1 Program Goals

Program Goals asks you to state the program goal and to write a brief overview describing the overall purpose of the proposed intervention. Goals should be stated as a result statement. See Annex 2: Quality Standards for Goal, Objective and Intermediate Result Statements on page 79 for more assistance.

- ✍ **Program Goal and expected results:** Click in this space to type the overall long-term goal of the proposed program. Be sure to type the goal as a result statement instead of an action statement. Result statements are usually expressed in the past tense of an active verb.

Tab 1.3.2 Objectives

***Note**: In this screen, it is very important that you fill out all the fields from top to bottom for each objective before adding another objective. All the fields must be filled in for each objective.*

In USAID vernacular, *objectives* (sometimes referred to as strategic objectives) are end results you wish to achieve within a specified time period. Result statements are usually expressed in the past tense of an active verb, such as “Food Security Improved”.

- ✍ **Objective:** The screen automatically starts at “Objective 1”. Type the name of your first objective.
- ✍ **Start Date:** Write in the date when your program activities related to this objective will begin.

- ✍ **End date:** Write in the date when your program activities related to this objective will be completed.

- ✍ **Save:** Click on this button to save the objective. Once the objective is saved, you will be asked whether you have intermediate results for this objective.

- ✍ **Do you have intermediate results?:** Click "Yes" to add an intermediate result, otherwise click "No".

Intermediate results are shorter-term results that lead to achievement of the related objective. Intermediate results are also expressed as result statements, i.e. "Health care facilities strengthened".

- ✍ **If "No":** Go to "What Activities will generate this result?" to describe the activities that will generate the stated objective. Complete all the information for each activity--**sector, activity description, targeted group, number targeted, activity budget, programmed delivery standards--** before adding another activity. Specific instructions for describing your activities follow.

- ✍ **Intermediate Results:** If you click "Yes", a box appears for writing your intermediate results. Write your intermediate results #1 and click on the **Save** button to save it. Go to "What Activities will generate this result?" to describe the activities that will generate the stated intermediate result. Complete all the information for each activity (**sector, activity description, targeted group, number targeted, budget, programmed delivery standards**) before adding another activity. Specific instructions for describing your activities follow.

Note that the numbering of the intermediate results relates to the numbering of the associated objective (e.g. Intermediate Result #1.1 means it is the first intermediate result for Objective #1). Once you have identified all your activities for the intermediate result, you can add another intermediate result by clicking the down arrow to the left of the word "Intermediate Result". The number "2" will appear with a blank box to type your intermediate result.

You may write as many intermediate results per objective as you wish by clicking on the down arrow button. However, the fewer intermediate results, the easier they will be to monitor.

- ✍ **Delete**: If you make a mistake, you can delete an objective and all its intermediate results and associated activities by clicking the delete button. Once you delete the objective, everything associated with the objective (intermediate results, activities, budget, programmed delivery standards, and indicators [if you have already defined them]) will be deleted. The remaining objectives will renumber themselves. For example, if you delete objective #2, objective # 3 will become the second objective.

- ✍ **Sector:** Click on the down arrow to the left of the selection box to bring up a list of sectors. Select the sector under which your activity falls. If you wish to select a sector not on the list, select **New** and type in the desired sector.

- ✍ **Activity Description**: Write in the description of the activity. Note that activities are also numbered. For example, for intermediate result # 1, the first activity is automatically numbered 1.11, meaning the first activity for the first intermediate result for Objective 1. If you had no intermediate result for Objective 1, the number for the first activity would be 1.01.

Complete all the information for each activity (sector, activity description, targeted group, number targeted, activity budget, programmed delivery standards) before adding another activity. To *add another activity* under the same objective or intermediate result, click on the down arrow next to the left of the activity box to advance the numbering. A blank space will appear for you to add an activity. List all the activities planned to generate each objective and/or intermediate result.

Note: One activity may contribute to the achievement of several objectives and/or intermediate results. In this case, enter the same activity for the different associated objectives and/or intermediate results. Be sure to prorate the estimated cost of the activity for each objective and/or intermediate result.

- ✍ **Targeted Group:** Click on the down arrow to bring up the list of targeted groups you already identified in Tab 1.2.5. If the group you are looking for is not listed, go back to Tab 1.2.5 and add it to your list; you cannot change or add Target Groups from Tab 1.3.2. in the Problem Analysis section.

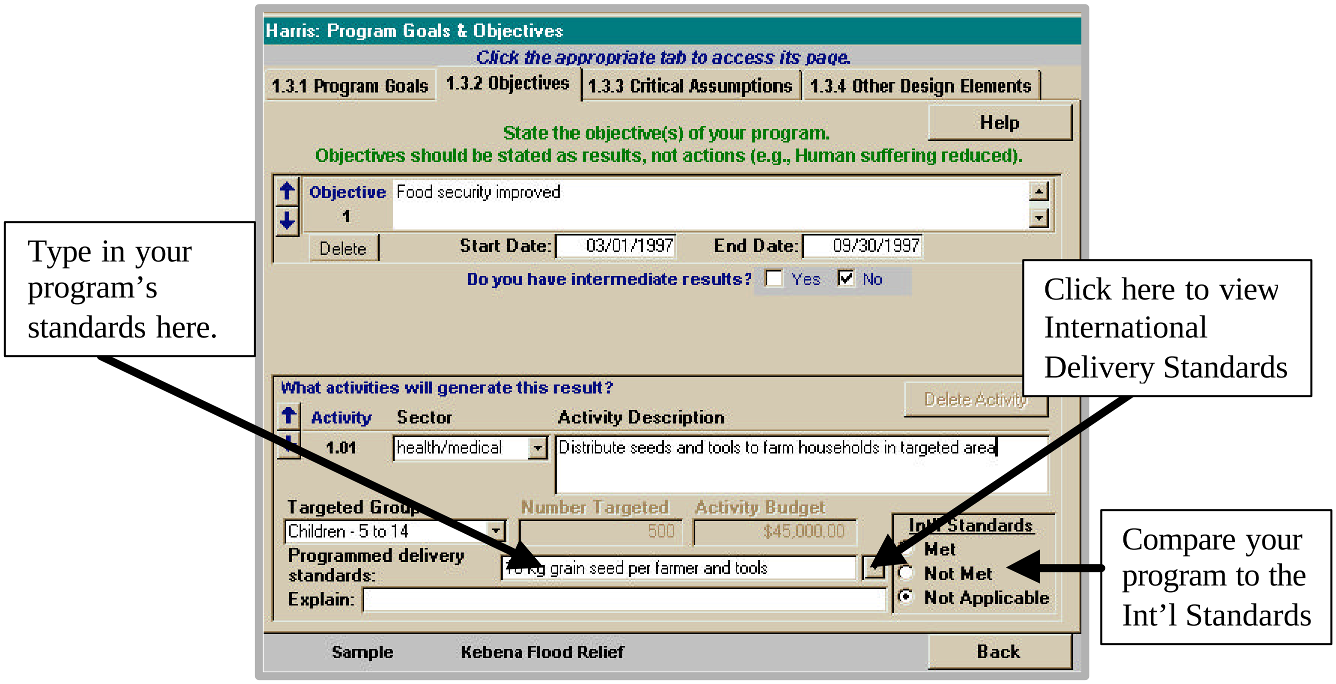
- ✍ **Number targeted:** For each targeted group, enter the number of people targeted for the activity.

- ✍ **Activity Budget:** Enter the estimated direct costs (such as cost of food commodities, medical supplies, and shelter material) for each activity, <u>excluding</u> program, management, and supervising costs.

- ✍ **Programmed delivery standards**: Type in the commodity and service standards for your project (i.e., level of assistance per person you are programming, per assessed needs of the targeted group). In addition to being based on assessed needs, delivery standards should follow international or recognized standards whenever possible, and whenever appropriate (see Annex 4: Recognized Commodity & Service Standards on page 78) for examples of selected recognized commodity ration and service standards). Click on the small arrow to view those international standards on the screen.

- ✍ **Int'l. Standards:** Based on what you read in the Annex on page 78 and what you see in the list of standards on the screen, determine whether or not your program meets international standards for the delivery of humanitarian assistance. Then click the appropriate box, whether your program's delivery standards **Met**, or **Not Met** recognized international standards. Click **Not Applicable** when not applicable.

✍ **Explain:** In the space provided, explain your delivery standards.



How to add another objective. When you have entered all the information on the screen for the first objective, add a second objective by clicking on the down arrow to the left of the word "objective". The number "2" will appear with a blank space to type your objective statement. You may write as many objectives as you wish by clicking on the down arrow button. However, the fewer objectives, the easier it is to monitor the achievement of these objectives.)

Tab 1.3.3 Critical Assumptions

Critical Assumptions allows you to state the assumptions made when defining your grant objectives. Critical assumptions are conditions outside yours or USAID's control and which must hold true for you to achieve your objectives and results. When included as part of the strategic plan, critical assumptions answer the question, "assuming what?" Critical assumptions need to be tracked, their status known, and their impact on your program understood. To help you define your assumptions, ask yourself what could potentially weaken your program. See "What are Critical Assumptions?" on page 8 for examples.

✍ **Objective:** Your program objective(s) developed in the previous screen will appear automatically in this box one at a time. Objective 1 should appear first. You will be asked to write critical assumptions for this objective. If you have more than one objective, click the **Next** button and Objective 2 will appear in the box to the right. Write your critical assumptions for each objective.

- ✍ **Previous:** Click on this button to scroll back to the previous objective. This allows you to edit and revise the assumptions you type.

- ✍ **Next:** Click on this button to scroll to the next objective.

- ✍ **Critical Assumptions:** For each objective, type critical assumptions in the space provided.

Tab 1.3.4 Other Design Elements

- ✍ **Does your program involve beneficiaries in the planning and/or implementation?:** Click either "Yes" or "No" whether you plan to involve the beneficiaries in the proposed program.

- ✍ **Explain:** In the space provided, explain.

- ✍ **Does your program take into account local capacities and incorporate traditional coping mechanisms?:** Click either "Yes" or "No" whether your program takes into account the local capacities and traditional coping mechanisms of the targeted beneficiaries.

- ✍ **Explain:** In the space provided, explain.

- ✍ **Does your program reflect principles of gender-sensitive programming?:** Click either "Yes" or "No" whether your program takes into consideration gender-specific issues.

- ✍ **Explain:** In the space provided, explain.

- ✍ **Does your program include contingency planning to overcome constraints due to worsening of the security situation?:** Click either "Yes" or "No" whether you have contingency plans in the event that the security situation worsens.

- ✍ **Explain:** In the space provided, explain.

4. Program Description

Program Description requests information on (1) implementation of logistics plan and requests for capital equipment; (2) context-specific programming; (3) how you plan to take into account and enhance local capacities; (4) how you plan to coordinate and collaborate with other donors and local counterparts; (5) how you plan to link relief to development; and (6) ways to reduce possible negative impacts of the project.

Click on any tab to begin, but be sure to complete all tabbed screens before proceeding to the next section.

Tab 1.4.1 Implementation Plan

- ✍ **Implementation Plan** is where you detail your logistics plan and describe the capital equipment and commodities required.

- ✍ **Logistics Plan**: Describe your logistics plan, highlighting potential obstacles and providing contingency plans. Justify any extraordinary needs such as airlift, helicopters or boats: In space provided, describe your logistics plan.

- ✍ **Capital Equipment and Commodities Required:** Describe capital equipment and commodity requirements. Include justification for procurement of any non-US vehicles: In space provided, describe our capital equipment and commodities requirement.

Tab 1.4.2 Context-Specific Programming

- ✍ **Does your program incorporate the principles of context-specific programming such as gender and socioeconomic/political power relations?:** Check either "Yes" or "No" in response to the question.

- ✍ **Explain**: In the space provided explain how the proposed program reflects this. See Annex G of the *OFDA Guidelines for Grant Proposals and Reporting* for a detailed description of Context-Specific Programming.

- ✍ **Did your program have potential short and long-term differential impacts (both positive and negative) on the various affected populations and their environment?** Check either "Yes" or "No" in response to the question.

- ✍ **Explain**: In the space provided, explain how your proposed program will minimize negative impacts and maximize positive ones.

Tab 1.4.3 Capacity Building

Here you can provide information about your proposed rehabilitation and capacity building activities and how you plan to involve the targeted population in planning, implementing and managing the proposed program. It also asks how your program enhances the capacities of the targeted population and communities to manage and cope with the disaster/crisis as well as the capacities of local, provincial, national and regional institutions to prevent, mitigate and prepare for such crises.

- ✍ **Does your program involve targeted populations in planning and implementation?:** Check either "Yes" or "No" in response to the question.

- ✍ **Explain**: In the space provided, please explain.

- ✍ **Does your program take into account and enhance the capacities of targeted groups and communities to manage and cope with the crisis?** Check either "Yes" or "No" in response to the question.

- ✍ **Explain**: In the space provided, please explain.

- ✍ **Does your program enhance the capacity of local, provincial, national or regional institutions to prevent, mitigate, or prepare for such crises?:** Check either the "Yes" or "No" boxes in answer to the question.

- ✍ **Explain**: Explain in the space provided how your program builds or enhances the capacities of these institutions.

Please rate the disaster management capabilities of the local, provincial, national, and regional level 0-5 or Don't Know: Click on the down arrow to the right of the selection box for the "Local", "Provincial", "National", and "Regional" categories and select a score from 0-5 or "Don't know".

Tab 1.4.4 Coordination Efforts

- ✍ **Are you coordinating with other U.S. PVOs, International Organizations (IOs), or international NGOs?** Check all that apply.

- ✍ **Discussion**: In the space provided, describe the nature of your coordination or collaboration with other donors, organizations or agencies.

- ✍ **Are you collaborating with local NGOs?:** Check "Yes" or "No" whether you are working with local NGOs.

- ✍ **If yes, which NGOs?:** In the space provided, list the name of the local NGOs with whom you will be working.

- ✍ **If yes, type of collaboration**: In the space provided describe the type or nature of your collaboration with local NGOs.

- ✍ **Are you planning any institutional capacity strengthening assistance for your local NGO partners?:** Check "Yes" or "No" whether you are planning to provide assistance.

- ✍ **Please elaborate**: In the space provided, please elaborate.

Tab 1.4.5 Linking Relief and Development

Linking Relief and Development allows you to describe how your proposed program will deploy relief resources in order to transition the affected population to self-reliance. You will also need to explain how you plan to minimize any potential negative impacts of your proposed program.

- ✍ **Does your program include relief-to-development linkages?** (See OFDA's "Guidelines for Grant Proposals and Reporting", Annex I): Check "Yes" or "No".

- ✍ **Explain**: In the space provided, describe how you plan to transition your relief program to development. Mention any restoring of livelihood, or food-for-work activities that serve as vehicles for linking relief and development.

Tab 1.4.6 Negative Effects

- ✍ **Does your program pose a potential negative impact on program beneficiaries, host population, or the environment?** Answer "yes" or "no" in response to the question.

- ✍ **If yes, how does your program minimize potential negative effects of your interventions?** Elaborate in the space provided.

5. Management, Administration, and Security

Management, Admin & Security is where you describe your organization's management structure and capabilities to implement the proposed program. You will also be asked to explain your operations and exit plans, detail in-kind contributions, and describe the security situation and how you plan to safeguard the well-being of your program staff in the field.

Click on any tab to begin, but be sure to complete all tabbed screens before proceeding to the next section

Tab 1.5.1 Management

- ✍ **Management Structure: Describe your organization's management structure to implement this program:** In the space provided describe your organization's management structure and staff composition (administrative and technical staff composition) to implement and manage the proposed program. What is the relationship between field and headquarters staff for this project?

- ✍ **Operations Plan: Do you have an operations plans for managing the program after startup?:** Click either "Yes" or "No" in answer to the question. Describe who is involved in managing the program and how it is to be managed. What systems do you have in place to monitor for inventory and quality control, and whether programmed rations are being delivered: In the space provided, describe your operations plan.

- ✍ **Exit Plan: Do you have an exit strategy?** Click "Yes" or "No" in answer to the question. **What criteria will determine when to exit?** In the space provided, state the criteria used for exiting. In addition, describe your phase-out and hand-over plan for the end of the program. Who will takeover and build on the program? Examples of exit criteria include: two consecutive successful harvests, or stable nutritional status over a six-month period.

- ✍ **Organizational Capacity Statement:** In the space provided write a description of your organization's capabilities to implement the proposed intervention.

Tab 1.5.2 Administration

Administration is where you state your organization's capabilities and list in-kind contributions brought to the proposed program. Examples of in-kind contributions could be 5 pick-up trucks worth $60,000, or 3 desktop computers worth $6,000. In addition, you will need to provide information in support of any proposed cost-sharing/cost-matching, and detail any sub-award arrangements.

- ✍ **Briefly summarize here and attach full documents as annexes:** In the space provided, describe the administration and attach relevant documents as annexes.

- ✍ **List in-kind contribution items, if any:** In the space provided, detail all in-kind contributions relevant to this proposed program.

- ✍ **Provide information in support of any proposed cost-sharing/cost-matching, and detail any sub-award arrangements:** In the space provided, detail information on any cost-sharing/cost-matching or sub-award arrangements.

Tab 1.5.3 Security

Security asks you to describe the security situation and how you will safeguard the well-being of the program staff in the field. You will also need to describe your organization's ability to achieve program objectives under the current security situation and describe your contingency plan should the security situation deteriorate

- ✍ **Describe the current security situation** (safety of aid workers) in the region of the program operations and detail the organization's ability to achieve program objectives given the current level of insecurity. How will the program respond to a deterioration of the security situation (contingency planning)? In the space provided, please elaborate.

- ✍ **Has the organization adopted the Interaction Security Planning Guidelines?** If not explain below (See "OFDA Guidelines for Grant Proposal and Reporting", Annex J): Click "Yes" or "No" to answer the question.

- ✍ If "**No**", identify criteria to assess when program objectives can not be met and the program would be suspended due to security concerns: In the space provided, please elaborate.

6. Monitoring, Measurement and Performance

Monitoring & Performance Measurement walks you step-by-step through the development of a performance measurement plan. (1) It asks you to describe your monitoring plan. Then you will develop a performance measurement plan by (2) selecting performance indicators for each objective and intermediate result from a list of pre-established indicators (or developing your own), (3) establishing baseline data and setting performance targets; and (4) developing a timeline of major activities and events. Finally, when your grant proposal is approved, (5) you will need to enter your OFDA-agreed upon performance reporting schedule.

You may exit any screen in this section and return to it at a later date, but you may not proceed to subsequent tabs or screens unless you have completed the previous one.

Tab 1.6.1 Monitoring Plan

Monitoring Plan allows you to describe how you plan to monitor accomplishments of your grant objectives and intermediate results.

- ✍ **Do you have a performance monitoring plan?:** Check "Yes" if you have a plan or "No" if you don't.

- ✍ **Will you involve beneficiaries in monitoring the program?:** Check "Yes" or "No" in answer to the question.

- ✍ **What system will you put in place for performance monitoring? (Who will do what? Do you have performance monitoring staff? Do you plan collaboration with other organizations? Will beneficiaries be involved? If so, how?):** In the space provided, detail your performance monitoring system.

Tab 1.6.2 Indicators

The **Indicators** tab asks you to identify performance indicators for tracking achievement of your grant objectives and intermediate results. Indicators can be selected from a menu of sector-specific indicators, which appears when you click on the **Select Indicator** button, or you can define your own indicators. **Do not fill in this section until you have completed the Goal and Objectives section**. You may wan to read the hardcopy list of indicators in Annex 6: Menu of Indicators on page 87 and carefully developing your measurement plan on paper before specifying it in the computer. Also consult criteria, or quality standards, for good indicators are given in "Annex 5: What Makes a Good Indicator?" on page 86.

- ✍ **Objective:** This window displays the objectives that you have already defined for which you are determining indicators. The selected objective is shown in the window, with its ID number at the left. Initially, Objective 1 comes up automatically and will be shown in the objective window. Click on the down arrow to the left to display Objective 2 and the up arrow to return to Objective 1. Select performance indicators for objective 1 and its related intermediate results.

- ✍ **Indicators:** This window is used for assigning indicators for the objective displayed.

Think of *indicators* as road signs that tell you how far you have come from your origination point (baseline) or how far you have yet to drive to your destination (target). Each indicator measures a specific dimension of the result you have planned to achieve.

- ✍ Click on the **Select Indicator** button, and click the down arrow on the right to scroll down the menu of indicators. Select the performance indicator that best fits the dimension of the objective you wish to measure and click on it. The ID for this indicator will appear in the indicator window. You may first refer to the printed version of the Menu of Indicators found in the Annex section to this User's Manual.

- ✍ **View Details:** Click on here to see the specific definition of the indicator. Details include the definition, unit of measure, and possible data sources.

- ✍ **Cancel**: This button only appears when the list of indicators is up. Click on this button to cancel the indicator you selected.

- ✍ **Save:** This button only appears when the list of indicators is up. Click on this button to save the indicator you selected.

- ✍ **Delete:** Once you save the indicator, you always have the option of deleting it. To delete an indicator, click on this button. Read the instructions that come up on the screen carefully before deleting.

- ✍ **Select Indicator:** To add another indicator for the same objective or intermediate results, click this button. This re-opens the menu of indicators. Select an indicator and click on it and repeat the steps described above. You must assign at least one indicator for each objective and intermediate result, but be careful not to assign too many.

- ✍ **Add Indicator to Menu:** If you cannot find an appropriate indicator from the list provided, you can add your own. To do this, click the **Add New Indicator** button and fill in the definition and other details on the pop-up screen. This will add the indicator to the list of indicators. To select this indicator for measuring an objective or intermediate result, click on **Select Indicator** and highlight the new indicator, then click **Save**. Any new indicators you add to the list will be numbered beginning with the letters OT, and they can be found at the end of the list of indicators. If OFDA approves of your indicator, it will eventually be added to the menu.

- ✍ **Delete Local Indicator**: Click on this button <u>only</u> to delete locally added indicators from the list of indicators. To do this, click on the **Delete Local Indicator** button, scroll through the local indicators by clicking on the **Previous** or **Next**, select the indicator you would like to delete, and click on the **Delete Indicator** button. *Important note:* If any of these local indicators are associated with a grant, the grant ID and title will appear in the box. *You can not delete indicators tied to grants using this screen.* If you would like to delete an indicator from any grant proposal, see the directions above for deleting indicators from your grant proposal. Local indicators must be deleted from the grant it is associated with prior to deletion from the Master list. After you delete the local indicator from the grant, you may use this button to delete it from the list of indicators.

- **Intermediate Results**: Both objectives and intermediate results require indicators. If the objective displayed has intermediate results, these will appear in the third window. Clicking the arrows at the left of the "Intermediate Results" window will allow you to scroll through your intermediate results. The window under the "Intermediate Results" is used for assigning its indicators. This window is identical to the one used for assigning indicators for objectives. Click on **Select Indicator** button to open up the menu of indicators and proceed as described above.

Tab 1.6.3 Baseline and Targets

Baseline and Targets is where you will enter baseline data and set performance targets for each indicator selected in **Tab 1.3.2**.

For the purposes of USAID-funded programs, *baseline values* and *targets* are values measuring the indicator, not the objective.

- **Objective/Intermediate Result:** This window is provided for your information. As each indicator appears in the display window below, it shows the objective or intermediate results corresponding to that indicator. The information presented in the window changes automatically as you select different indicators. The ID number of the Objective/Intermediate Result is also shown in the small window at the left.

- **Indicator:** The indicator window displays the indicators you defined in the previous tab. Click the up or down arrows on the left to select an indicator for which you wish to enter baseline and performance target data. The indicator selected is the one displayed in the window; its ID number is shown in the small window on the left. Enter the baseline data and performance target for the selected indicator. You will need to type in the baseline value and performance target for <u>each</u> indicator. It helps to have your assessment data at hand when entering baseline data.

- **Unit:** This window shows the unit of measurement for the selected indicator. The unit of measurement will help you to identify what type of data to gather to establish the baseline and performance target. It is important to note whether the indicator is measured in kilograms, metric tons, pounds, miles, or kilometers. You will also need to establish what the universe or scope of the indicator is, for example, the total affected population or the targeted group only.

- **Baseline:** Type in baseline data for the indicator displayed in the window. The baseline value can be obtained from your needs assessment or a secondary source other than your organization. These baseline data are the values of the indicator before you began your program activities. Be sure you are using the correct units shown in the unit window for the selected indicator.

- ✍ **Performance Target:** Type in the performance target value that you are setting for the selected indicator--the value of the indicator that you intend to achieve through your intervention. Be sure you are using the correct units. (e.g. if your objective is reduced infant mortality, and your baseline for infant mortality is 5/10,000 live births per month, you may choose to set your target at 2/10,000 per month. The unit of measure is number of live births/10,000 births per month)

- ✍ **Source of data**: Write in the source of the baseline data entered above. The source of the data may be from assessments conducted by your organization, or from assessments or surveys conducted by other organizations. Be as specific as possible.

Tab 1.6.4 Timeline

Timeline is where you define when major program activities and/or events and when they will begin and end.

- ✍ **Timeline Activities**: In the space provided, enter a time line for your implementation plan showing major activities with beginning and ending dates. Click on **Add Activity** to list the first activity. Enter **Begin** and **End** dates for each activity. Limit entries to the three to six major timeline activities. Examples might include distribution of emergency food rations or a vaccination campaign.

- ✍ **Add New Activities:** Click on this button to add a timeline activity.

- ✍ **Previous:** Click on this button to scroll back to the previous activity you have entered.

- ✍ **Next:** Click on this button to scroll forward to the next activity you have identified.

- ✍ **Delete Activity**: Click on this button to delete a timeline activity.

Tab 1.6.5 Performance Reporting Schedule

Performance Reporting Schedule. *Do not complete this tab unless your grant proposal is approved by OFDA.* If your grant is approved you will need to enter the agreed upon reporting dates.

If this grant has been approved by OFDA, list the OFDA agreed-upon performance-reporting schedule, showing report titles (e.g. Quarterly Report #1 or Midterm Report) and due date: See following instructions:

- ✍ **Rpt. No**.: Click in the box and enter the number "1", which indicates your first report to OFDA. Once you enter the number of the report, fill in the Report Title and Due Date. When you hit the **Return** on your keyboard, the cursor will take you to the next line.

- ✍ **Report Title:** Write in the title of the report, such as Quarterly Report #1, Midterm Report or Final Report. (Short-term grants usually require midterm and final reports, while long-term grants require quarterly reports. Consult your Regional Coordinator at OFDA for guidance.)

- ✍ **Due Date:** Fill in the date when the report is due. After you enter the name and due date of the first report, hit **Return** on your keyboard, and the cursor will take you to the next line.

7. Budget Analysis

Budget Analysis button opens up tabs that help you to develop the budget for your grant proposal. First a summary of the activity costs you already entered in Tab 1.3.2 is totalled. Then you will be asked to (2) enter program performance monitoring and measurement costs; (3) estimate program management costs (such as staff costs, transportation and communication costs, equipment and supplies costs, subcontracting and G&A costs); and (4) estimate your contribution (in-kind and cash) and funds provided by other donors. In this section you will also be asked to (5) explain the methodology you used to estimate your costs.

Click on any tab to begin, but be sure to complete all tabbed screens before proceeding to the next section.

Tab 1.7.1 Program Activity Costs

Program Activity Costs summarizes program activity costs entered when you stated your program objectives and described the associated activities and costs in Tab 1.3.2. Activity costs are summarized by objective. **This screen is read only.**

Note: You may not enter data in this screen. This serves as a summary of the costs associated with objectives and activities. To change any line item, you will need to return to the Program Goals & Objectives button, Tab 2. to revise any of the budget costs for activities.

Tab 1.7.2 Performance Measurement Costs

Performance Measurement Cost allows you to estimate a budget for performance monitoring and measurement. It includes three line items: (1) staff costs, (2) technical assistance costs associated with special surveys, and (3) other data collection methods. You will need to estimate the cost of monitoring and measuring the achievement of your program.

- ✍ **Staff Cost**: Enter the cost associated with staff time spent on performance measurement.
- ✍ **Technical Assistance Cost:** Enter the estimated budget for hiring or using outside services to conduct special surveys and other data collection efforts.
- ✍ **Other Costs:** Enter the cost of acquiring secondary data and other performance measurement and reporting-related costs not reflected elsewhere.
- ✍ **Total:** The total amount of the line items is automatically calculated.

Tab 1.7.3 Total Program Budget Summary

Total Program Budget Summary asks you to enter Program Management costs as well as in-kind, cash, and other contribution. Then, the screen summarizes the total cost of implementing and managing the proposed program, including the cost of emergency commodities and services. It shows the net amount of resources requested from OFDA after accounting for your own cash and in-kind contributions and resources from other sources. If your program has budget information from another budget system or spreadsheet, please enter the summary information in Tab 1.7.3 and attach the detail information in a separate document.

- **Program Activity Costs:** This is a total of all the costs associated with implementing the program activities. This number comes from **Program Activity Costs** entered in the Goals and Objectives section of the grant proposal.

- **Program Management Cost:** This is a total of all estimated management costs, including salaries, wages and benefits and other associated costs such as housing, transportation and communication, supplies, equipment and other management related costs (See OFDA "Guidelines", Annex E). You can either enter an estimated cost in this space or click on the **Detail Worksheet** to calculate a more detailed program management cost. Please see the description of the worksheet below for more details.

- **Program Performance Monitoring Costs:** This cost is automatically generated from the numbers you entered in the previous screen, Tab 2: Performance Measurement Costs.

- **Total Program Cost** is the sum of Program Activity, Program Management, and Performance Measurement costs.

- **Cash:** Enter the cash amount of your contribution.

- **In-Kind:** Enter the dollar equivalent amount of your in-kind contribution.

- **Funds from Other Sources:** Enter the amount you expect to raise from other funding sources.

- **Amount Requested from OFDA:** Enter the total amount requested from OFDA. The **Total Program Budget** less **Own Contribution** and **Funds from Other Sources** equals the amount requested from OFDA.

- **Amount Approved by OFDA**: *Do not fill in unless your grant has been approved by OFDA.* Enter the total amount funded by OFDA.

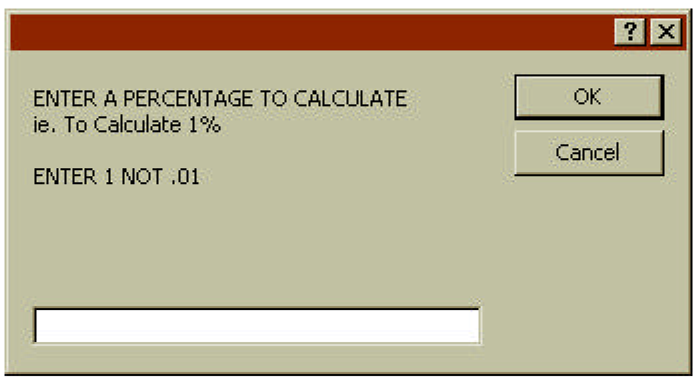
- **Worksheet:** Click on this button to view a detailed worksheet to calculate costs related to expatriate personnel, local staff, travel, equipment, supplies, general overhead and any other costs that you anticipate incurring. This worksheet also allows you to allocate the OFDA funded portion by objective.

Tab 1.7.3 Special Button: Budget Detail Worksheet

Clicking on Worksheet opens a special reporting tool for breaking down your costs by objective. This section is optional. The important thing is to report your costs on the summary page, even if the detail in a separate document, and to use the Narrative to explain your methodology for estimating or justifying those costs.

- **Expat Personnel:** This tab takes you to a worksheet that enables you to calculate salaries and cost breakdowns according to program objectives. First click on the drop down menu under **Personnel** and choose the appropriate position description. If your desired position description is missing from the list you may type it in directly into the space provided. Go to the cell marked **Unit** and enter the number of staff that you anticipate working in that position. The next cell requires you to enter the number of **Months** each position is expected to work for. Under **Amt. (USD)** enter the monthly salary plus benefits for each position. The **Total** column is the summation of the cost of each position (Unit*Months*Amount) and is calculated automatically. Under **Total Other** enter the dollar amount that you are expecting from other sources to pay for staff salaries and benefits for this position. **Total OFDA** funding will be calculated automatically by the worksheet, which is the difference between the **Total** Cost for the position and the **Total Other** funding expected from other sources. **Total OFDA** column will be calculated after you complete inputting percentages to each objectives and shared costs in the relevant row and move your cursor to the next row.

- Next double click inside the cell marked **Obj.1** and the following screen will open up.



- This worksheet also allows you to allocate the OFDA funded portion by objective. For example, let us assume that the Medical Officer will use 45% of his/her time under **Obj. 1**; 35% under **Obj. 2**; and the remaining 20% under **Shared Costs**. Enter the number "45" in the space provided (NOTE: Do not enter 45 followed by the "%" sign or 45 as a decimal point "0.45"). After entering the number, click on the **OK** button and the worksheet will allocate a dollar amount for Objective 1 based on the person's salary. This number signifies 45% of total OFDA funding for this position will be spent under Objective 1. Repeat the same procedure for the next cell under **Obj. 2** and enter "35"; followed by "20" under **Shared Cost**. You can allocate costs for up to 5 objectives. *[Note: You will have to make sure by hand that your percentages add up to 100%.]*

- Repeat the same procedure in the worksheet to calculate costs associated for local staff, travel, equipment, supplies, general overhead and other costs. Click on the related tab to access the desired worksheet.

- ✍ **Direct Costs; Indirect Costs; General Overhead:** Finally, after allocating costs to each segment, enter the percentage of overhead expense (multiplier) of your organization to calculate total **Program Management Costs**.

This completes the worksheet calculations. To the right of the screen, you will see the Program Costs separated by objectives, shared costs, total OFDA funding, funding from other sources and a total cost for the whole project. The second line will provide you the same breakdown as the first line but will show how your overhead expense is divided across the board by objectives, shared costs, total OFDA funding, funding from other sources and a total cost for the whole project.

- ✍ **Clear Worksheet:** If you feel that for any reason, you would like to restart your calculation of the worksheet, click on this button to clear all numbers inside the worksheet.

- ✍ **Print Details:** Click on this tab to print a detailed explanation of your budget calculations. It is advisable to print this detail and make sure that this matches up with your intended budget summary for **Program Management Costs**.

- ✍ **Exit:** If you have not completed your worksheet calculations but would like to exit the screen you can click on this button to return to **Tab 3: Total Program Budget Summary**. Clicking on this button still preserves any unfinished calculations in the worksheet.

- ✍ **Save:** After you have completed your budget calculations and assigned costs to each segment of your project, click on this tab to save your worksheet. When you click on the **Save** button, it will replace any number you may have assigned (estimated cost) to the **Program Management Cost** box in **Tab 3: Total Program Budget Summary**.

Tab 1.7.4 Budget Narrative

Budget Narrative provides a space for documenting all the assumptions used in estimating the program budget. Be sure to document and explain the assumptions used in your budget calculations. In addition, provide the budget justification as appropriate.

- ✍ **Provide an explanation for your budget including assumptions, justifications and details of how you arrived at estimates:** This screen provides you space for documenting all the assumptions used in estimating the program budget. Document and explain the assumptions used in your budget calculation. In addition, provide budget justification as appropriate (e.g., why is x number of expatriate staff needed to manage the program? Why is a program activity budget at the stated level?)

When and How to submit your Grant Proposal to OFDA

Before you submit your Grant Proposal, try using the **Status** button on the **Grant Proposal Menu** to review the completeness of your grant proposal. See Status Button on page 14 for complete instructions.

Because HARRIS is still in Pilot Test Version, submitting your Grant Proposal involves two steps:

a) Submit the Grant Proposal "Report" OFDA using your regular process. The process usually means sending the Grant Proposal report in hard copy or in soft copy to your headquarters office, who will send it to the appropriate Regional Coordinator at OFDA/Washington. You should include a cover letter with your grant proposal. You may need to submit a revised proposal after negotiation with OFDA.

AND…

b) Submit the Grant Proposal "Data File" directly to Juanita Rilling (see "Tab 5.2 Export" on page 75. You do not need to submit this data file until the grant has been approved and has been revised, if necessary.

When your Grant Proposal is approved

Submission of your grant proposal to OFDA does not guarantee approval. When your grant proposal is approved, you will need to revise the following based on agreements made with OFDA during the review and approval process:

Location	Name of Field, if applicable	What to do
Tab 1.1.3	Proposal/Grant ID	✍ Replace the temporary Grant ID Number with the OFDA approved Grant ID Number
	Date Approved	✍ enter the date OFDA approved the grant
	Funds Approved by OFDA	✍ enter the amount of funding approved by OFDA
	Program Start-up Date	✍ enter the OFDA approved program start date
	Program End Date	✍ enter the OFDA approved program end date
Tab 1.3.2		✍ Enter any revisions to activities and activity costs agreed upon with OFDA
Tab 1.6.5		✍ List the OFDA agree upon performance reporting schedule, showing report number, title and due date.
Tab 1.7.3		✍ Enter any budget items that were revised based on your conversations with OFDA; also enter the total budget approved by OFDA

Once you have entered all revisions agreed upon with OFDA, you will need to:

1) Submit the revised proposal (in hard copy or as a soft copy report attached to an e-mail message) to the appropriate Regional Coordinator at OFDA/Washington.

AND…

2) Export the data file by following the instructions in “Tab 5.2 Export” on page 75. Send the data file attached to an e-mail address to Juanita Rilling at OFDA/Washington.

AND…

3) Continue using HARRIS to track progress and changes in your program. Approved grants generated using the IP Module will require that the corresponding performance reports be developed on the IP Module.

HOW TO WRITE A PERFORMANCE REPORT

This section details how to write performance reports for an OFDA-approved grant. **You can not write a performance report for a grant unless you have already entered information in the Grant Proposal section.** Data from the Grant Proposal section (such as the proposed reporting schedule and the framework of activities and indicators) is the basis for your performance report; the performance report section will not work properly if there is no corresponding data in the Grant Proposal section. Therefore, we recommend that you go back and enter in the proposal information even if your primary intention was to generate a performance report. Please refer to HOW TO WRITE A GRANT PROPOSAL on page 16 for help.

If you didn't use HARRIS to write your Grant Proposal

If your approved grant was not developed using HARRIS, but you plan to develop performance reports using HARRIS, you will need to first enter the following data in the Grant Proposal section of HARRIS before you can develop a performance report:

We recommend that you fill out as much of the Grant Proposal section as possible.

As a are minimum, you must fill out the following Grant Proposal sections before using the Performance Report section:

Location	Name of Field	What to do
Tab 1.1.3		Enter OFDA-approved Grant ID Number
Tab 1.2.3	Category	Enter categories of affected populations
Tab 1.2.5	Targeted Group	Select at least one targeted group here (depending on what you entered in 1.2.3)
Tab 1.3.1	Goal	Provide overall goal of your program
Tab 1.3.2	Objectives, intermediate results, start date, end date, sector, activity description, target group, number targeted, budget, and programmed delivery standards	Fill in as much information as possible for each objective and activity of the project.
Tab 1.3.3		describe the critical assumptions for each objective
Tab 1.6.2	Indicators	select performance indicators for each objective and intermediate result
Tab 1.6.3	Baseline and Targets	enter the baseline data and performance target for each indicator

Tab 1.6.4	Timeline	list the major timeline activities for your program
Tab 1.6.5	Performance Reporting Schedule	list the OFDA-agreed upon performance reporting schedule
Tab 1.7.2	Performance Measurement Costs	enter the staff, technical assistance and other costs associated with performance measurement of your intervention
Tab 1.7.3	Total Program Costs	enter the Program Management costs

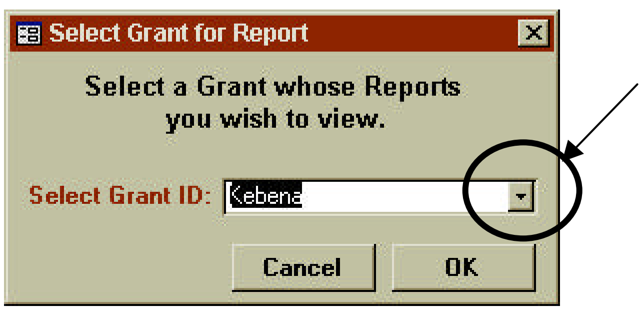
Once you have entered the above information into the Grant Proposal section, you will be able to use HARRIS to develop performance reports of your grant.

How to Begin a Performance Report

1. Follow instructions on page 6, "How to Start HARRIS".

2. At the main menu screen, there are five buttons. Choose **Performance Report** button.

3. You will be prompted to select a **Grant ID** number. Click on the down arrow to the right of the selection box to bring up a list of grants. Select the **Grant ID** number for the grant you will be reporting on.



4. When you click **OK**, the **Performance Report** Main Menu Screen pops up.

5. Select which performance report you will be working on from the list. An asterisk appears beside the report tile if it has already been submitted to OFDA. Remember that these are the reports you agreed upon with OFDA when your Grant was approved. **HARRIS will not let you proceed in this section unless you have entered your OFDA approved reporting schedule (a performance report schedule) in the grant proposal section of HARRIS.** If you are looking for a specific report that should be listed but is not, please return to Tab 1.6.5 to add another report.

Overview of Performance Report section

As in the Grant Proposal section, the Performance Report section is designed to be used in sequence.

Select a report you wish to work on and then choose a button. The reports with asterisks are reports that have already been submitted to OFDA. As soon as you select the desired report, the Performance Report Menu buttons light up.

There are four buttons on this menu:

1. **Program Performance** is where you input data about the progress of your objectives and intermediate results. You will be asked to supply the current value for each indicator and provide qualitative information on each objective.

2. **Explanatory Factors** requests information about delivery standards and any critical delays. In this section you will be asked to describe the current status of the critical assumptions and to discuss any problems or issues that arose during the reporting period.

3. **Re-Calibration** is where you document whether or not you conducted a needs assessment and whether you re-calibrated your program activities and targets based on the needs assessment. This section allows you to reallocate funds from one activity to another. Finally, you will have an opportunity to comment on any feedback received from OFDA.

4. **Resource Use** asks you to summarize expenditures made during the reporting period by objective.

Other buttons on the Performance Report Main Menu screen include:

Status: Click on this button to see which required information fields you have completed.

Main Menu: Click on this button to return to the Program **Main Menu** screen.

Preview: Click on this button to preview your performance report.

Print: Click on this button to print your performance report.

To begin, click the button 2.1 Program Performance to enter performance data for you program.

1. Program Performance

Program Performance is where you input data about the progress of your objectives and intermediate results. You will be asked to supply the current value for each indicator and provide qualitative information on each objective.

Tab 2.1.1 Report Identification

Report Identification asks you to provide contact and other information on the reporting period being covered.

- ✍ **Date Submitted:** After you complete the report and are ready to submit it to OFDA, enter the date the report will be submitted. When you enter the date, an asterisk will appear beside the report title on the Performance Main Menu to indicate that it has been submitted to OFDA.

- ✍ **Period/Dates Covered:** Type in the beginning and ending dates for the period you are reporting on.

- ✍ **Preparer:** Enter the name of the person preparing this report, or select the name for a menu by clicking on the down arrow to the right of the selection box. If there is more than one person, type in the second name after the first name separated by a comma. OFDA will contact this person(s) if questions and issues arise regarding the report.

- ✍ **Headquarters / Field Office:** Check the box indicating whether the person preparing this report is in the headquarters or field office.

- ✍ **Telephone:** Type in the preparer's telephone number, including all country and local prefixes. Be sure to include the country code plus area code or city prefixes (the country code for the United States is "1").

- ✍ **Fax:** Type in the preparer's fax number, including all country and local prefixes. Be sure to include the country code plus area code or city prefixes (the country code for the United States is "1").

- ✍ **E-mail:** Type in the preparer's e-mail address. You may add the e-mail address for the second person by separating the two e-mail addresses with a comma.

Tab 2.1.2 Indicator Values

Indicator Values is where you provide the current value of the indicators for each one of the program objectives or intermediate results.

- ✍ **Indicator:** The first indicator for Objective 1 will automatically appear in this box. Enter the current value (in the "Current Value" field below) for this indicator before proceeding to the next indicator. To proceed to the next indicator click on the **Next** button. Indicators will appear in sequential order according to the order of your objectives and intermediate results.

- ✍ **Unit:** The unit of measure for each indicator will automatically appear for the indicator in the box above. Note this carefully to be sure that units for the current value conform to these units.

- ✍ **View Details**: If you need to, click on this button to view the details of the indicator appearing in the Indicator line. Details will include the definition, unit of measure, and possible data sources for the indicator you chose.

- ✍ **Previous:** Click on the button to scroll back to the previous indicator.

- ✍ **Next:** Click on this button to scroll forward to the next indicator. Indicators will appear in sequential order according to the order of your objectives and intermediate results.

- ✍ **Objective/Intermediate Result:** This window automatically displays the objective or intermediate result associated with the selected indicator.

- ✍ **Performance Data:** This box displays **Baseline** and **Target** values for the selected indicator. These figures come from your grant proposal and appear automatically in the performance reporting screens.

- ✍ **Current value**: Type in the current value for the selected indicator. Be sure to use the proper units. Hit the **Enter** key to accept the value you typed in. Click on the **Next** button to scroll to the next indicator. Enter the current value for each indicator.

Tab 2.1.3 Performance Results

Performance Results provides a table that automatically summarizes the indicator results. There is also a space which allows you to input qualitative information about the progress made toward achieving each objective and intermediate result, during the reporting period.

- ✍ **Objective:** Objective 1 automatically appears first. Under Objective 1 is **Burn Rate** and **Time elapsed**. **Burn rate** indicates how fast you are expending money on this objective and is automatically calculated when you enter amount committed and amount expended per objective in the budget section of this report. To view the **Burn rate**, first enter the figures in the budget section and come back to this screen to see the calculated burn rate. **Time elapsed** is automatically calculated based on end and start dates for your objective (identified in the grant proposal) and the dates of this reporting period.

- ✍ In the space provided, briefly describe program accomplishments during this reporting period per each grant objective. You may enlarge the memo field as you type by hitting **Control + Z** on your keyboard

- ✍ **Previous:** Click on this button to scroll back to the previous objective.

- ✍ **Next:** Click on this button to bring up the next objective.

- ✍ **Summary Table:** For each objective, a summary table of indicator values and percent of progress appears for all of the indicators associated with that objective. The percent of progress made is calculated on the most current value entered for the indicator. To view the summary table for each objective click on the "Previous" or "Next" button to scroll to the desired objective.

Tab 2.1.4 Beneficiaries Assisted

Beneficiaries Assisted asks for the number of beneficiaries assisted in general and per activity during this reporting period. This tab asks for two kinds of estimates of beneficiaries assisted. The first estimate requested is for the total number of beneficiaries receiving <u>at least one form</u> of assistance during this reporting period. The second is the estimate of beneficiaries assisted per activity.

- ✍ Please estimate the total number or beneficiaries receiving at least one form of assistance during this reporting period:

- ✍ **Estimated Number**: Estimate the total number of beneficiaries receiving at least <u>one form</u> of assistance during this reporting period.

- ✍ **Objective**: Click on the down arrow to the right of the selection box and select Objective 1. You will be asked to explain any gaps between the number of people and number targeted for this objective. To advance to Objective 2, click on the down arrow and select it from the list of objectives identified in your Grant. You will need to explain any gaps for each objective.

- ✍ Explain the gaps between number of people assisted and number targeted by objective: In the space provided please fill in this information for each objective. You may enlarge the memo field as you type by hitting Control + Z on your keyboard

- ✍ **Activities**: The first activity for Objective 1 or Intermediate Result 1 appears in this window. Enter the Number Assisted (below) during this reporting period for the activity shown. To go to the next activity click on the down arrow, and Activity 2 will appear. Enter the number assisted for every activity in your program. Note that Sector, Targeted Group, Number Assisted appear automatically for each activity selected.

- ✍ Number Assisted: For each activity, enter the number of beneficiaries assisted during the reporting period.

2. Explanatory Factors

Explanatory Factors request information about delivery standards and any critical delays in commodity distribution or service delivery. You will also be asked to discuss the status of critical assumptions and any problems or issues that arose during the reporting period.

When you click on the **Explanatory Factors** button, a screen with five tabs opens up. Click on **Tab 2.2.1 Delivery Standards** to begin.

Tab 2.2.1 Delivery Standards

Delivery Standards requests information about delivery standards and delays in commodity distribution or service delivery to disaster victims. You will also be asked to enter information about actual commodity and service standards used during the reporting period and whether they met the assessed needs of the targeted population.

- ✍ **Explanation:** Objective 1 will appear automatically above the blank space for explanation. In the blank space provided, briefly explain the performance of objective 1 and any discrepancies in service delivery standards. Provide a brief explanation of each objective and intermediate result performance and complete the **Delivery Standards** and **Delays Encountered** questions for each activity associated with the relevant objective and intermediate result. After you have completed the information on all activities under Objective 1, advance to the next objective or intermediate result by clicking on the down arrow next to the objective.

- ✍ **Activity:** The activities associated with objective 1 will appear in this space. Click on the down arrow to scroll to the next activity, or the up arrow to scroll back to the previous activity. Answer the questions related to **Delivery Standards** and **Delays Encountered** for each activity associated with objective 1. Complete the information on all activities for each objective and intermediate result in your program.

- ✍ **Delivery Standards**: For each activity, what was the actual quantity (ration/service) delivered during this reporting period? Were there any critical deficiencies that endangered meeting acute needs?

- ✍ **Your delivery Standard**: This information (from your grant proposal) will appear automatically for each activity.

- ✍ **Actual Delivery**: Write in the actual commodity and service standard provided to beneficiaries during this reporting period for each activity. The space available allows you to enter 3-4 lines of text.

- ✍ **Critical Deficiency**: Click in the box if there was a Critical Deficiency in meeting assessed needs.

- ✍ **Delays Encountered: For each activity, did you encounter any CRITICAL delays which significantly impeded achievement of programmed results:** Check “Yes” or “No” whether you encountered critical delays.

- ✍ **Explanation**: If appropriate, provide an explanation in the space provided. You are not limited by the space seen on the screen. You may enlarge the screen by hitting **Control + Z** on your keyboard.

Tab 2.2.2 External Factors

External Factors is where you describe the status of your critical assumptions established in your grant proposal and explain any unanticipated events, outside your control, that helped or hindered the performance of your grant objectives.

- ✍ What is the current status of your critical assumptions? Have they changed during this reporting period? If so, how have they influenced the performance of your grant? Please explain: Check whether critical assumptions outlined in your grant proposal have “Changed” or “Stayed the same”. In the space provided, describe their status and the influence these critical assumptions have had on the performance of your grant objectives. If they have changed, discuss how the changes have influenced the performance of your grant. The scroll bar to the right indicates that you can type 3-4 pages of text. To enlarge the space as you type, hit Control + Z on your keyboard.

- ✍ Did any unanticipated external factors influence performance? If yes, please explain. (Always watch for critical events and report them to OFDA immediately) Check Yes or No whether unanticipated external factors influenced the performance of your grant objectives. If Yes, please explain in the space provided. You may type as much as you like in the space. You are not limited by the size of the space seen on the screen.

Tab 2.2.3 Timeline

Timeline is where you explain the status of major activities and events.

- ✍ Please update the status of your timelines for this reporting period: In the column under Status, indicate the status of each major activity or event.

- ✍ Explanation: Briefly explain whether or not the major activities in your timeline were accomplished. If appropriate, discuss why these activities were not met and how this impacted the performance of your objectives. You can type as much as you like in this space. To enlarge the space as you type, hit Control + Z on your keyboard.

Tab 2.2.4 Problems and Issues

Problems and Issues allows you to describe problems or issues which arose during the reporting period, and what you did to address them. You will also need to document any problems encountered during the reporting period and alert BHR/OFDA of major developments that may have hindered the implementation or performance of your program.

- ✍ Problems: Did you encounter any major program implementation, management or other problems during this reporting period?: Check either “Yes” or “No” whether you encountered any problems.

- ✍ If yes, what problems did you encounter and how did you address them?: In the space provided, describe any major problems encountered during this reporting period, and how they were addressed.

- ✍ Issues: Do you have any issues, concerns, critical events or requests that you would like to state for the record?: Check either “Yes” or “No” and then explain if you had any issues or concerns.

- ✍ If yes, what are they? (Note: Requests for OFDA action must be submitted independently and right away): In the space provided, discuss any issues, concerns, or requests you would like to bring to OFDA’s attention. Please report critical events or conditions that are most likely to affect the implementation or progress of your program.

- ✍ Performance Measurement: Do you have suggestions for OFDA on how to improve its performance measurement system? Check either “Yes” or “No” in response to the question.

- ✍ If yes, please state your suggestions: In the space provided, please offer any suggestions for improving OFDA’s performance measuring system.

Tab 2.2.5 Summary of Results

Summary of Results allows you to summarize the overall results of the grant during the reporting period.

- ✍ Summarize the overall progress of the program during this reporting period, and to date. Identify the activities completed during this period and to date, and discuss their overall contribution to the program objectives. State whether or not expected results (performance targets) remain unchanged: In the space provided, summarize the progress of your program during this reporting period. You are not limited by the space in the box. When you click in the box, a scroll bar appears to the right indicating that you can type as much as you like. You can enlarge the space as you type by hitting Control + Z on your keyboard. To return to the normal-sized screen, click the Cancel or Save button.

3. Recalibration

In the Re-calibration section, you can document:

- ✍ whether or not you conducted a needs assessment and
- ✍ whether you recalibrated your program activities and targets based on the findings of a needs assessment
- ✍ your comments about any feedback you received from OFDA

Tab 2.3.1 Crisis Situation

- ✍ Crisis Situation asks you to report on the status of the crisis and whether it has worsened or not.

- ✍ **Has the crisis worsened?**: Click **Yes** or **No** in response to the question.

- ✍ If **yes**, please use the space provided to explain the status of the crisis and how it has worsened. You may type as much as you like. You are not limited by the size of the space on the screen.

Tab 2.3.2 Beneficiary Changes

Beneficiary changes allows you to document any recalculations of the number of beneficiaries receiving emergency assistance. *Please note that you can make changes to the number of beneficiaries assisted up to 10 days after the date you submitted your performance report to OFDA.*

- ✍ During this reporting period, did you conduct any needs assessments in the grant impact area?: Check "Yes" or "No" in response to the question.

- ✍ If yes, did you adjust the number of beneficiaries served on the basis of this assessment?: Check "Yes" or "No" in response to the question.

- ✍ If yes, explain: In the box provided explain why the number of beneficiaries was adjusted. You may type as much as you like. Then, complete the fields under <u>Adjust Beneficiaries</u>.

- ✍ <u>Adjust Beneficiaries</u>: Objective: Click on the down arrow to the right of the selection box and select the objective under which beneficiaries were adjusted.

- ✍ Activity: Select the activity under which the beneficiaries were adjusted. You can not proceed until you select an activity from this list.

- ✍ Current Number requiring assistance: This number appears automatically and is derived from the number in your approved grant.

- ✍ Amount of reduction/increase: *Note that you can enter a number here up to 10 days after the date you submitted your performance-report to OFDA.* Enter the number of beneficiaries subtracted or added to the original number from your proposal. If you are adding beneficiaries enter a regular number (e.g. 50). If you are subtracting beneficiaries enter a number preceded with a minus sign (e.g. -50).

- ✍ Save: Click on this button to save the number subtracted or added entered above.

Tab 2.3.3 Activity Recalibration

Activity Recalibration allows you to re-budget funds from one activity to another

- ✍ **Did you change or adjust your intervention based on a needs assessment?:** Check either "Yes" or "No" in response to the question.

- ✍ **If yes, please explain:** In the space provided, explain what adjustments were made based on your needs assessment. You may type as much as you like, you are not limited by the size of the space on the screen.

- ✍ **Adjust Activity Budgets:** Move funds FROM this activity:

- ✍ **Objective:** Click on the down arrow to select the objective from which you are withdrawing funds.

- ✍ **Activity:** Click on the activity from which you are withdrawing funds. You must select an activity to be able to reallocate the funds.

- ✍ **Move funds To this activity**

- ✍ **Objective:** Click on the down arrow to select the objective to which you will be adding the funds.

- ✍ **Activity:** Click on the activity to which you are adding funds. You must select an activity to be able to reallocate the funds.

- ✍ **Maximum Transferable Funds:** The discretionary funds available will appear automatically in this space. This amount is derived from the numbers in the approved grant.

- ✍ **Amount to transfer:** Enter the amount of funds you wish to transfer from one activity to another. **Note:** You can not enter any numbers in "Amount to Transfer" if ten or more days have elapsed since the date you submitted your report (e.g. if you enter "date submitted to OFDA" as June 10, you can not enter any data in the "Amount to Transfer" field after June 20).

- ✍ **Save:** Click on this button to save the information that you just entered.

- ✍ **Delete Activity:** If you need to delete an activity, make sure that the funds for that activity have been transferred to another activity. Once the activity has no funds, you may delete it. Remember that you may delete activities up to 10 days after the date you submitted your performance-report to OFDA.

- ✍ **Add Activity:** Click on this button to add an activity. Identify under which objective or intermediate result the activity will fall, click on **Add Activity** and type in the desired activity. Remember that the 10-day grace period applies to adding activities to your performance report.

Tab 2.3.4 OFDA Feedback

OFDA Feedback provides an opportunity to comment on any feedback you received from OFDA during this reporting period. If no feedback was received from OFDA, state so.

- ✍ During this reporting period, did you receive any feedback about your program from OFDA?: Check "Yes" or "No" in response to the question.

- ✍ If yes, did you make any changes or adjustments in your program based on this feedback?: Check "Yes" or "No" in response to the question.

- ✍ State feedback received and indicate how you addressed them: In the space provided, explain what changes or adjustments were made in your program based on this feedback.

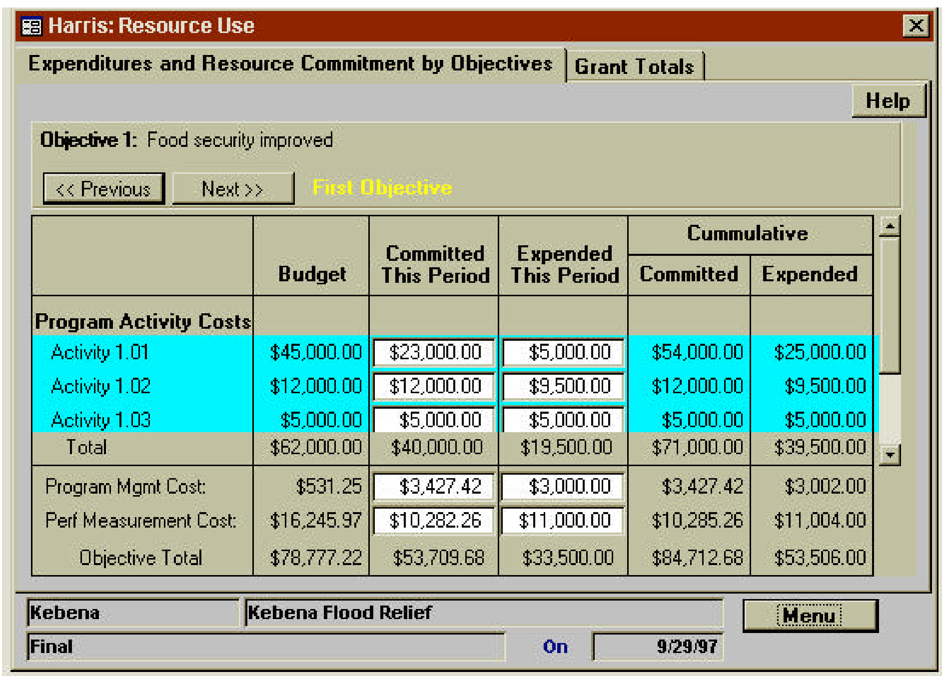
4. Resource Use

Resource Use is where you document how much of the budgeted resources have been committed and expended during the current reporting period and to date. Resource Use has two tabbed sections.

> **Tab 1: Expenditures and Resource Commitment by Objectives** allows you to enter the amount committed and the amount expended for Program Activity Costs, Program Management Costs, and Performance Measurement costs per objective.
>
> **Tab 2: Grand Totals** summarizes the total expenditures for the Grant.

Tab 2.4.1 Expenditures and Resource Commitment by Objectives.

Expenditures and Resource Commitment allows you to enter the amount committed and the amount expended for Program Activity Costs, Program Management Costs, and Performance Measurement costs per objective.



- ✍ **OBJECTIVES:** Objective 1 will appear automatically in this space. Complete the budgetary information for all the activities under objective 1. Once you have entered budget information for objective 1, you can scroll to the next objective by clicking on the **Next** button.

- ✍ **PREVIOUS:** Click on this button to scroll back to the previous objective.

- ✍ **NEXT:** Click on this button to scroll to the next objective.

- ✍ **PROGRAM ACTIVITY COSTS –** Enter the amount committed and expended during this reporting period for each activity under this objective. Note that only three activities appear on the screen at a time. If you have more than three activities, click on the scroll bar to the right to bring up subsequent activities. Enter the amount committed for each activity.

- ✍ **PROGRAM MANAGEMENT COSTS-** Enter the amount committed and expended during this reporting period for program management costs. Please note that program management costs are calculated as a percentage of total expenditures.

- ✍ **PERFORMANCE MEASUREMENT COST-** Enter the amount committed and expended during this reporting period for performance measurement costs. Please note that performance measurement costs are calculated as a percentage of total expenditures.

- ✍ **BUDGET:** This column indicates the amount budgeted for Program Activities, Program Management Costs, and Performance Measurement per objective (based on the budget in the OFDA approved grant)

- ✍ **COMMITTED THIS PERIOD**: This column is where you enter the amount committed for each line item during this reporting period.

- ✍ **EXPENDITURES THIS PERIOD**: This column is where you enter the amount expended for each line item during this reporting period.

- ✍ **CUMULATIVE:** Both cumulative **COMMITTED** and **EXPENDED** amounts per objective and line item will be automatically calculated and appear in the Cumulative column.

After entering your budget information, you can return to button 1. Program Performance, Tab 3: Performance Results, to see the percent burn rate for each objective.

Tab 2.4.2 Grand Totals

This table is cannot be edited. It summarizes resource use for the reporting period.

- ✍ **COMMENTS:** This space allows you to make any helpful notes based on the read only table.

GRANT MODIFICATIONS

How to write a Grant Modification

General Notes:

- This section is to be completed only when you are requesting a modification to an already approved grant.

- Consult with your Regional Coordinator to determine if it is better to submit a completely revised proposal or a Grant Modification in your situation.

- The Grant Modification section does not follow the “tab” format that is used in the other sections of HARRIS. Instead, this section has a header where you can check as many boxes as apply to your situation. Then scroll down to the bottom of the screen and fill in the sections that light up.

- You can also have a series of Grant Modifications. To start a new one, click on the down arrow at the top of the screen. Each modification requires checking the boxes that apply to the situation.

  - **MODIFICATION NUMBER:** Select the modification number by clicking on the down arrow to the left to advance the numbering. You can click on the up arrow to return to a previously entered Grant Modification.

  - **DATED:** Enter the date that modification will take effect.

  - **GRANT**: The grant ID will appear automatically in this space.

  - **PRINT**: Click on this button to print the Grant Modification that is being viewed.

  - **DELETE:** Click on this button to delete the Grant Modification that is being viewed.

  - **BUDGET DETAIL**: Click on this button to view a summary budget sheet for the Grant being modified. This **BUDGET DETAIL** provides columns for **EXISTING** Budget, **ADJUSTMENTS** and a total column with **NEW BUDGET** numbers. It also provides a space for a **BUDGET NARRATIVE**. This section is discussed in more detail later.

  - **MODIFICATIONS (CHECK ALL THAT APPLY):** Check the type of modification you are requesting. You may check all that apply.

  - **REALLOCATION OF:** If you will be reallocating funds, check the type of reallocation. You may choose to reallocate indirect costs (activity costs), participant training costs, or subaward/subcontract.

- ✍ **ADD NEW:** Click on this button to add a new objective to modify your grant proposal.
- ✍ **PROFILE OF TARGETED POPULATION:** Enter the profile of the targeted population in this space.
- ✍ **NEW OBJECTIVE:** If you are changing objectives, you need to type the new objective in the blank space provided.
- ✍ **START DATE:** Enter the date when you expect your specific grant modification objective to commence. Enter dates using numbers and beginning with the month, day, and year. (e.g. 2/5/99)
- ✍ **END DATE:** Enter the date when you expect your specific grant modification objective to end. Enter dates using numbers and beginning with the month, day, and year. (e.g. 3/15/99)
- ✍ **PREVIOUS**: Click on this button to scroll back to the previous objective within the same Grant Modification number.
- ✍ **NEXT:** Click on this button to advance to the next objective within the same Grant Modification number.
- ✍ **DELETE:** Click on this button to delete the objective appearing in the New Objective box above.
- ✍ **SAVE:** Click on this button to save the New Objective your entered. After you click on this button, the **NEW ACTIVITY** screen will open up within your Grant Modification screen.
- ✍ **ADD NEW**: Click on this button to add another objective. Then click in the New Objective box to type the objective.
- ✍ **NEW ACTIVITY:** Write in a new activity for the new objective stated above.
- ✍ **BUDGET:** In the space provided, enter your estimated budget for this new activity.
- ✍ **TARGETED GROUP**: Click on the down arrow to the right of the selection box to bring up a list of targeted groups, which were identified in your grant proposal. Select the group that will be targeted by the activity stated above.
- ✍ **SECTOR:** Click on the down arrow to the right of the selection box to bring up a list of sectors. Select the sector under which the above-mentioned activity falls.
- ✍ **PREVIOUS:** Click on this button to scroll back to the previous activity.

- ✍ **NEXT:** Click on this button to advance to the next activity.

- ✍ **DELETE:** Click on this button to delete the activity appearing in the Activity box above.

- ✍ **ADD NEW**: Click on this button to add another activity under the New Objective appearing in the box above. Then, click in the New Activity box to type the activity.

- ✍ **NEW INDICATOR:** You will need to identify indicators for measuring performance of the new objective. Click on the down arrow to the right of the selection box to bring up a menu of indicators. From the menu, select the indicator you will use to measure the progress of the new objective.

- ✍ **BASELINE:** Enter the current value of each indicator. The baseline reflects the status of the indicator prior to the implementation of the objective.

- ✍ **TARGET:** Enter desired values for each indicator. The target values indicate the level of development you expect to achieve by the end of the objective period.

- ✍ **PREVIOUS:** Click on this button to return to the previous indicator.

- ✍ **NEXT:** Click on this button to return to advance to the next indicator.

- ✍ **DELETE:** Click on this button to delete the indicator appearing in the New Indicator box.

- ✍ **ADD NEW**: Click on this button to add another indicator for the objective appearing in the New Objective box above.

- ✍ **EXISTING OBJECTIVE:** This is the objective you are changing. Click on the down arrow to the right of the selection box to bring up a list of grant objectives. Select the objective your wish to change or delete.

- ✍ **STATUS OF EXISTING OBJECTIVE:** In the space provided, explain the status of the objective and why you wish to change or delete it.

- ✍ **JUSTIFICATION FOR NEW OBJECTIVE:** In the space provided, provide a justification for adding the new objective to your grant. If you are adding several new objectives, you will need to provide an explanation for each one.

- ✍ **ADDITIONAL FUNDING AMOUNT:** Enter any additional funds needed to implement the activities related to the New Objective.

- ✍ **ADDITIONAL TIME (DAYS):** Enter the number of additional days needed to implement the activities under the New Objective.

- ✍ **WHAT WILL BE ACCOMPLISHED WITH THE ADDITIONAL MONEY/TIME? PROVIDE JUSTIFICATION:** In the space provided, explain what will be accomplished with the additional money/time.

- ✍ **STATUS OF PROGRAM ACCOMPLISHMENTS TO DATE:** In the space provided, explain the status of program accomplishments to date.

- ✍ **REALLOCATION OF:** DIRECT & INDIRECT COSTS:

- ✍ **FROM:** Enter what direct/indirect cost item you would like to reallocate funds from in this section.

- ✍ **TO:** Enter what direct/indirect cost item you would like to reallocate funds to in this section.

- ✍ **AMOUNT:** Enter the amount you would like reallocated in this section.

- ✍ **PARTICIPANT TRAINING:**

- ✍ **FROM:** Enter what participant training activity you would like to reallocate funds from in this section.

- ✍ **TO:** Enter what participant training activity you would like to reallocate funds to in this section.

- ✍ **AMOUNT:** Enter the amount you would like reallocated in this section.

- ✍ **SUBAWARD/SUBCONTRACT:**

- ✍ **FROM:** Enter what subaward/subcontract you would like to reallocate funds from in this section.

- ✍ **TO:** Enter what subaward/subcontract you would like to reallocate funds to in this section.

- ✍ **AMOUNT:** Enter the amount you would like reallocated in this section.

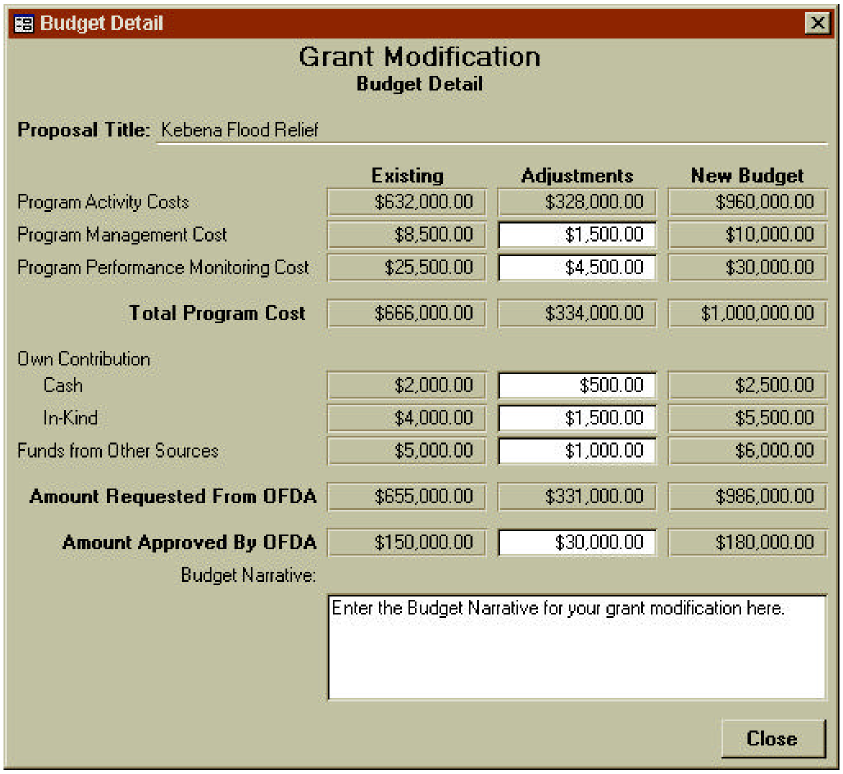
- ✍ **JUSTIFICATION:** Enter your complete justification for requesting this modification of the grant in this space.

- ✍ **Print**: Click on this button to print the Grant Modification that is being viewed.

- ✍ **Delete:** Click on this button to delete the Grant Modification that is being viewed.

- ✍ **Budget Detail**: Click on this button to view the following summary budget sheet for the Grant being modified. This **Budget Detail** provides columns for **Existing** numbers,

Adjustments and a total column with **New Budget** numbers. It also provides a space for a **Budget Narrative**.



- **Program Activity Costs:** This is a read only line item. The **Adjustment** column figure is the same as the **Budget** figure you inserted in the Grant Modification tab after **New Activity**.

- **Program Management Cost:** In the **Adjustment** column, enter a dollar figure to modify the **Existing** Program Management cost. The number can be a positive or negative number and the **New Budget** column will automatically calculate a new total.

- **Program Performance Monitoring Cost**: In the **Adjustment** column, enter a dollar figure to modify the **Existing** Program Performance Monitoring cost. The number can be a positive or negative number and the **New Budget** column will automatically calculate a new total.

- **Total Program Cost**: The **Adjustment** column total will be automatically calculated in this read only space.

- **Cash:** In the **Adjustment** column, enter a dollar figure to modify the **Existing** Cash contribution. The number can be a positive or negative number and the **New Budget** column will automatically calculate a new total.

- ✍ **In-Kind:** In the **Adjustment** column, enter a dollar figure to modify the **Existing** In-Kind contribution. The number can be a positive or negative number and the **New Budget** column will automatically calculate a new total.

- ✍ **Funds from Other Sources:** In the **Adjustment** column, enter a dollar figure to modify the **Existing** contribution from Funds from Other Sources. The number can be a positive or negative number and the **New Budget** column will automatically calculate a new total.

- ✍ **Amount Requested from OFDA**: The **Adjustment** column total will be automatically calculated in this read only space. This will show the additional amount that needs to be requested from OFDA. If this is a negative number, OFDA will subtract this amount from the original request.

- ✍ **Amount Approved by OFDA:** The **Adjustment** column lets you enter a dollar figure to modify the **Existing** column of Amount Approved by OFDA. The number can be a positive or negative number and the **New Budget** column will automatically calculate a new total.

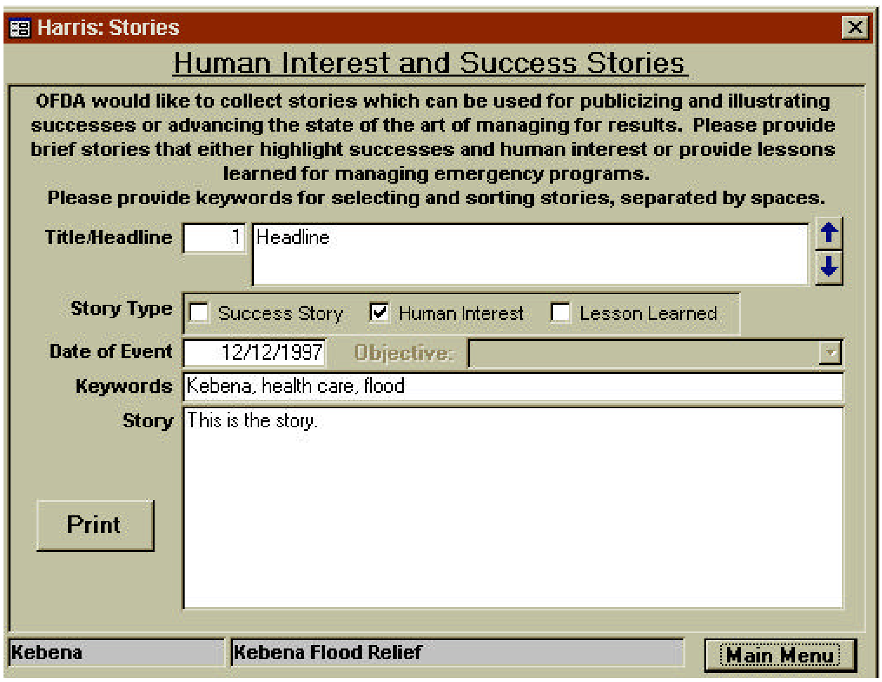
- ✍ **Budget Narrative:** Enter any comments, justifications and explanations for additional resources or reduction in budget requests in this space.

- ✍ **Close:** Click on this button to return to the **Grant Modification** screen.

HUMAN INTEREST AND SUCCESS STORIES

How to write Human Interest and Success Stories

When you click on the Human Interest and Success Stories button from the Performance Report Main Menu screen, a screen for the stories pops up. Here you can document human interest stories that highlight the impact that your activities have had on specific individual and families within your targeted groups. These stories should be related to your grant activities. You may also document lessons learned and other success stories that could be used for publicity or replication elsewhere. Instructions for writing your human interest/success story or lessons learned are outlined below.



The stories have to relate to this specific grant.

- **TITLE/HEADLINE NUMBER BOX:** Number the stories sequentially, beginning with 1.

- **TITLE/HEADLINE:** Click on the down arrow to the right of the selection box to bring up a list of approved grants. To view an existing story, click on the Grant ID under which this story was written. Or, you may click on the blank screen to write a new story. Provide a title or headline for each story.

- **STORY TYPE:** Check the story type for each entry. Click the box which best describes the type of story you are providing -- Human Interest, Success Story, or Lessons Learned.

- **DATE OF EVENT:** Enter the date of the event for which you are writing about.

- ✍ **OBJECTIVE:** If this story is related to a particular program objective, select that objective by clicking on the down arrow to the right of the selection box to bring up a list of program objectives and highlight the desired objective.

- ✍ **KEYWORDS:** Enter keywords that could be useful for searching your story. Please separate the keywords with a comma and a space like the following example:

  ```
  mortality, hunger, immunization, livelihood restoration,
  political upheaval
  ```

- ✍ These key words will be essential for sorting and grouping stories.

- ✍ **STORY:** Type your story in the window provided. It is generally most useful to write a story like a brief newspaper article, including who, what, where, when, and why. A story can be several paragraphs or up to two or three pages long,

- ✍ **PRINT:** Click on the **PRINT** button to print the story.

- ✍ **MAIN MENU:** Click on the Main Menu button to return to the **MAIN MENU** screen.

How to submit Human Interest or Success Stories to OFDA

To send a human interest story or success story to OFDA, click on the **Database Utilities** button from the main menu. Once in the **Database Utilities** section, click on the **Export** tab. Highlight the Grant ID numbers associated with the story you wish to send and create an export file by clicking on the export button and naming the file. Send the file to OFDA on a diskette or as an e-mail attachment. This file will export the grant, its performance reports and associated stories to OFDA. You can not just send a story without the grant.

PRINTING, SENDING, AND EXPORTING REPORTS

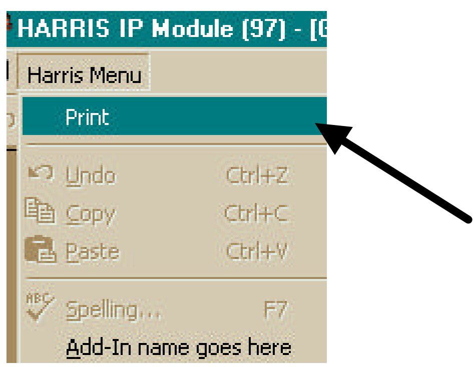
A report formats information about your grant and then prints it out. All of the following are reports:

- Grant Proposal
- Budget Detail Worksheet
- Performance Report
- Grant Modification Request
- Human Interest Story

How to print a Report

Before you print a Grant Proposal or Performance Report, try using the **Status** button on the **Grant Proposal Menu** or **Performance Report Menu** to review the completeness of your grant proposal. See Status Button on page 14 for complete instructions. (Grant Modification Requests and Human Interest Stories do not have a Status button.)

- You can choose **Print** directly from the Grant Proposal Menu, Performance Report Menu, Grant Modification screen, or Human Interest screen.
- Or, if you want to *print a selection of pages*, you must choose **Preview** and then choose **Print** from the **Harris Menu** at the upper left-corner of the page. You can then choose the printer you want to use and designate which range of pages you want to print.



Ways to send a Report to a colleague

If you want to share a report (Grant Proposal, Performance Report, Grant Modification Request, or Human Interest Story) with a colleague or your headquarters office, you have two choices:

a) Print out a hard-copy of the report and send it my fax or mail to the recipient. See the section above on printing.

OR…

b) Save your report as a soft-copy file on your hard drive and then send it in an e-mail message to a colleague or your headquarters office for review. See the instructions below.

Sending Reports electronically

To send an electronic copy of your report, you must follow these instructions carefully. *In advance, the HARRIS team apologizes that there is not an easier solution!* The first two versions of HARRIS could not save a reliable soft-copy at all. Even HARRIS Version 2.0 cannot easily save a soft-copy because of some technical limitations in the way Microsoft Access works. Without these complicated steps, about half of each soft copy report would be impossible to read. Therefore, we ask for your patience in advance.

There are two sets of instructions: one for the sender and one for the recipient. The *sender* has to install a PostScript printer driver (instructions below) and then use this printer driver each time to send a report in soft-copy (instructions also below). The *recipient* has to install and use GhostView in order to open, read, and print the report (instructions below).

Instructions for Sender

The *sender* has to install a PostScript printer driver (instructions below) and then use this printer driver each time to send a report in soft-copy (instructions also below).

Sender installs a PostScript printer driver onto their computer	Sender sends a report in PostScript format
1. Run the **Install Printer** program by clicking the **Start** button (bottom left of the screen), choosing **Settings**, and then **Printers**. 2. Double-click the **Add Printer** icon. 3. In the **Add Printer Wizard** window, choose **Local** and the **Next**. 4. If asked, select **LPT1 port** and click **Next**. 5. In the Manufacturers Field on the left side, click on **HP** until it becomes highlighted. In the Printers field on the right side, click on **HP LaserJet 4L/4ML PostScript**. (If you don't have that one listed, choose another printer driver that has the word PostScript by itself.) Then click **Next**. 6. If asked, select **LPT1 port** and click **Next**. 7. For the name of the printer, type **Send HARRIS**, click **No** (do not make it your default printer), and click **Next**. 8. If asked, choose **Not Shared** and click **Next**. 9. When asked if you want to print a test page, click **No** and **Finish**. 10. If you are asked to insert your Windows Operating System installation CD, please find it and insert it. If you do not have the Windows CD ask your system administrator for it. You can also try looking in the c:\i386 folder if you have one. 11. The new printer driver should be installed! Now follow the instructions for sending a report in PostScript format.	1. **Preview** the report. 2. Choose **Harris Menu** and then **Print**. 3. In the Print window, click on the arrow in the pull down box. Change the printer to **Send HARRIS**. Also click in the box **Print to File** and choose **OK**. 4. Choose a file name and location that you can remember. 5. Go into your e-mail system and attach the file as you regularly do. 6. Give your recipient warning that they will have to install the GhostView program. Send them the instructions. Search your HARRIS CD, open the folder called Receiving Reports, and send the file called **GhostView Installation.txt** as an attachment in an e-mail message. The instructions also explain where it can be downloaded for free on the Internet. 7. You can even send the GhostView Program if your e-mail system can handle 3.5 megabytes. The GhostView program is included on your HARRIS CD. Search your HARRIS CD, open the folder called Receiving Reports, and send the file called **gsv27550.exe** as an attachment in an e-mail message.

Instructions for Recipient

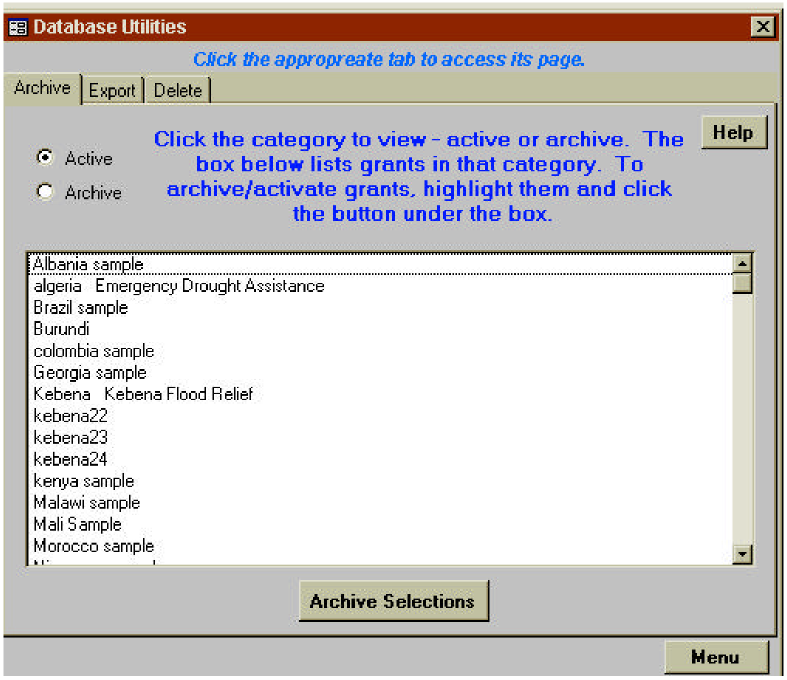
For your convenience, these instructions are also repeated in a text-only file called **GhostView Installation.txt** on the HARRIS IP Module CD.

Recipient installs GhostView (only needs to be installed one time)	**Recipient uses GhostView to open a report sent in PostScript format (probably with the extension *.ps or *.prn)**
1. Download the GhostView program from the website http://www.cs.wisc.edu/~ghost/ aladdin/get550.html 2. Click the link labeled gsv27550.exe in the middle of the page. When prompted, save the file to your hard drive: C:\Temp\gsv27550.exe 3. [Or, someone who has the HARRIS IP Version 2.0 CD can send you a copy of the GhostView Program via e-mail. They can use Windows Explorer to locate the **GhostView Installation.txt** file and then attach in an e-mail message. When you open the message, save the file (gsv27550.exe) to the following folder on your hard drive: C:\Temp\gsv27550.exe] 4. Run **Add/Remove Programs** by clicking the **Start** button (bottom left of the screen), choosing **Settings**, and then double-clicking on the **Add/Remove Programs** icon. 5. Click **Install**. 6. Click **Next**. 7. In the command line for the installation program type in: **C:\Temp\gsv27550.exe** and click **Finish**. 8. It will ask you if you want to setup GSView and Aladdin Ghostscript. Click **Setup**. 9. Click **Next** five (5) times. Do not change any default settings! Just click **Next** five times! 10. You will get a message saying that GSView Installation was successful. Click **Exit**. 11. The GhostView Folder appears on the screen with four icons displayed. Double-click on the **GSview** icon. 12. A window will open called **Gsview Configure** will appear. Click **Next** five (5) times. Do not change any default settings! Just click **Next** five times! 13. Click **Finish** and then click **Exit**. GhostView is now installed.	1. Start GhostView from the **Start** button, choosing **Programs**, **GS Tools**, and then the **Gsview** icon. 2. From within the GhostView program, choose **File** and then **Open**. 3. To print, choose **File** and then **Print**. 4. From the Printer Setup window, choose your regular printer (under Queue) and choose the pages to print. 5. Exit GhostView by choosing **File** and then **Exit**.

Database Utilities: Archive Data, Export Data, Delete Data

Tab 5.1 Archive

Archiving a grant means compressing it so that it takes less space. Archive a grant when it is no longer used very often – usually after three years. An archived grant remains in the database, but requires less memory. It must be reactivated before it can be used.



- ✍ **ACTIVE/ARCHIVE:** Click the category of grants that you wish to view – active or archived. The box will display a corresponding list of grants.

- ✍ **DISPLAY BOX:** The display box lists all grants in the selected category – active or archive.

- ✍ **ARCHIVE/ACTIVATE BUTTON:** The button under the box moves grants from active to archive status or archive to active status. When the box shows active grants, the button is labeled **ARCHIVE SELECTIONS**. When the box shows archived grants, it is labeled **MARK AS ACTIVE**. To **Archive Grants,** highlight the grants that you wish to archive, then click the button under the box labeled **ARCHIVE SELECTIONS**. The selected grants will disappear from the active list and be added to the archive list. To **ACTIVATE GRANTS,** highlight the grants that you would like to activate, then click the button under the box labeled **MARK AS ACTIVE** and the selected grants will disappear from the archive list and appear in the active list.

Tab 5.2 Export

Exporting data to OFDA means sending it in a data file formatted for direct entry into OFDA's database. Whereas a report can be read by a person, only the OFDA Module program can "read" a data file about your grant.

Your grant's data file should be exported to Juanita Rilling according to the following schedule:

- ✍ When a grant is approved; after all negotiated revisions have been entered in to HARRIS and OFDA has provided an approved grant identification number.
- ✍ When a Performance Report is due.
- ✍ When you want to submit a human interest or success story.

Export the data file as follows:

1. Select the grant(s) to export by highlighting their names in the display box. Only approved grants are listed. It does not list preliminary proposals that are not yet approved.
2. Press Export.
3. Save the file somewhere on you hard drive where you can find it again.
4. Attach the data file to an e-mail message.

Data files should be sent to Juanita Rilling at <jrilling@usaid.gov>.

Tab 5.3 Delete

The delete tab permits erasing an entire grant from the database, along with all of its related reports and stories. It is needed to keep the database clean of false starts; practice files, and test data, but must be used extremely cautiously. Once deleted, the data cannot be recovered.

- ✍ DISPLAY BOX: The display box lists all proposals and grants.

CAUTION: Be extremely careful. Remember that once a proposal or grant is deleted it cannot be recovered, and that ALL associated information, including stories, will be deleted.

FREQUENTLY ASKED QUESTIONS

When and where do I submit things?

Submit your proposals and reports through your headquarters office according to your regular process. In addition, please export the HARRIS data file directly to Juanita Rilling at OFDA/Washington according to the schedule in "Tab 5.2 Export" on page 75.

How can I make the screen bigger?

Unfortunately, you can't make the screen any bigger. But you can enlarge a memo field by typing **Control + Z** on your keyboard.

Can I attach a spreadsheet with my budget?

It is not possible to attach a spreadsheet or other document inside the HARRIS file. If you need to provide information that could not be easily presented from inside the HARRIS program, please attach it to your e-mail message when you submit a report to OFDA.

What is the difference between Send Report and Export Data?

A report formats information about your grant and then prints it out. When you send a report, you are sending an electronic copy of the printout. A person can read a report from HARRIS.

Behind the reports is a data file that stores the information about your grant. When you export a data file, you are sending the data file to OFDA so that it can be consolidated and analyzed with information from other grant programs. Only the OFDA module can "read" a data file from HARRIS.

I don't have time to go back and enter the Grant Proposal

Please follow the instructions in "If you didn't use HARRIS to write your Grant Proposal" on page 48 and fill in the minimum information required.

How come I can't get into the Performance Report section?

You must select the name of a Performance Report (such as Final Report) from the Performance Report Menu before you can use the buttons labeled 2.1, 2.2, 2.3 or 2.4.

How can we work collaboratively?

If you want to work collaboratively on a Grant Proposal or other report, consider keeping the grant information on one person's computer and sharing comments in hard-copy only.

If it is important to move a data file from one person's computer to another, be sure that you can keep track of the different versions. Only use one version for submissions to OFDA. Use your Windows Explorer to find the file c:\Program Files\Harrisip\HarrisIPData.mdb on your hard drive and attach it to an e-mail message to send to another author.

Why can't we just download HARRIS from the Internet?

Future versions of HARRIS will probably be available for download on the Internet; or, the whole program may be moved to the Internet at some time in the future.

ANNEXES

Annex 1: Examples of Situation Assessment in an Emergency

Screening for Malnutrition: Emergency Response
In an emergency situation the keys to success are (a) determining whom to help first and (b) providing immediate response with appropriate assistance. During food shortages, children under five are among the first to starve because they have the smallest reserves and the least resistance. Other high-risk groups targeted for nutritional care include pregnant and lactating women, the elderly, and handicapped persons. Therefore, your initial assessment should focus on the nutritional status and needs of the groups most at risk.

Anthropometric Measurement
Many emergency responders use mid-upper arm circumference (MUAC) to rapidly assess the severity of malnutrition among children under five. Within hours they can determine which children among the affected population could die without immediate help. A color-coded malnutrition bracelet can be used to measure the circumference of the upper arm to ascertain the nutritional status of each child. The example below explains how this bracelet would be used.

Red: MUAC less than 110 millimeters (mm), indicates severe malnutrition. Severely malnourished children are in the process of dying and require immediate intensive medical care. Depending on age, these children should be placed in a therapeutic feeding center and monitored closely.

Orange: MUAC between 110 - 124 mm, indicates moderate malnutrition. Children in this category should be admitted to a nutrition center and given cereals loaded with protein and mixed with milk and sugar. These children should also be vaccinated against measles.

Yellow: MUAC between 125 -134 mm, indicates at risk condition. Children in this category should be given supplemental feeding and also vaccinated against measles.

Green: MUAC above 135 mm, indicates adequate nourishment. These children need nutritious meals and should be vaccinated against measles.

Household Survey
If time permits, it is useful to conduct household surveys to explore the following:
- Extent to which families have to sell their animals, their possessions, and their tools, even their land to buy food,
- Availability of household stores of food and access to food sources,
- Access to clean, potable water,
- Incidence of diarrhea and customary treatment,
- Incidence of communicable diseases like measles, cholera, etc.,
- Availability and need for drought and disease-resistant seed stock and tools for next season's planting
- Need for rehabilitative activities, such as vocational training or micro-credit.

Annex 2: Quality Standards for Goal, Objective and Intermediate Result Statements

Standards for goal, objective, and intermediate results statements include:

- ✍ Expressed in terms of *a result*, not an activity or process. What will have happened as a result of the intervention?
- ✍ *Clear and precise:* what is the magnitude of the expected change?
- ✍ *Measurable and objectively verifiable:* what are the performance indicators and data?
- ✍ *Unidimensional:* does the statement refer to only one result, not a combination of several results.
- ✍ *Significant:* are they national, regional, or other level changes?
- ✍ *Feasible:* can they be accomplished given your capability, time and resources?
- ✍ *Linked* to OFDA’s strategic objective, “Critical emergency needs of disaster victims met.”

Annex 3: What makes a Good Result Statement?

A good result statement is stated as an end result. However, depending on the program's strategic approach, the stated objective may have more than one dimension that may need measuring, perhaps using different performance indicators.

For example, "*growth* of children under 5 years of age improved" is a good objective statement. However, it has at least three dimensions that may need measuring. Growth can be measured in terms of height, weight, or emotional development. If your objective has several dimensions, you may need to write an objective for each dimension. Good objectives state only one dimension.

An objective should be stated as a single end-result rather than a compound result. In addition, baselines and performance targets should not be reflected in the objective statement. This is because, depending on the statement and your program strategic approach, the objective may have more than one dimension that requires measuring, using different indicators with different baselines and performance targets. Also, the objective statement should not combine means and ends. Again, if the objective has more than one dimension, different types of interventions may be required to effect each dimension.

Examples of good results statements include:

a) Prevalence of malnutrition among children under five reduced.
b) Vaccination coverage for measles among children under five in targeted areas increased.
c) Vulnerable populations' access to quality basic preventive and primary health care increased.
d) Incidences of cholera reduced.
e) Local capacity to appropriately respond to emergency situations strengthened.
f) Access to food among targeted population increased.
g) Food security of targeted pastoral communities stabilized.
h) Potential impact of flooding in targeted communities mitigated.

Example of an inadequate result statements:

i) Prevalence of moderate and severe malnutrition among children under five reduced from x% to y%.

This statement has two results. Severe malnutrition requires different intervention than moderate malnutrition. In real life, changing the incidence of moderate malnutrition is much more difficult than reducing the incidence of severe malnutrition. Severely malnourished children can be given therapeutic feeding and their condition improved.

The statement also has baseline and performance indicators. X% is the baseline value and Y% is the performance target value. These values should not be part of the result statement. First, the baseline for moderate and severe malnutrition cannot be the same. Likewise, you may not want the performance target to be the same.

The golden rule is that for each result statement you need at least one indicator. For each indicator you need a baseline value and a performance target. Baseline and performance target values belong to indicators, NOT objective statements.

j) Food security of the targeted pastoral community stabilized by maintaining the health of its livestock.
k) Potential impact of flooding mitigated by increasing the capacity of the local population of X community.

Both examples (j) and (k) mix up "means" and "ends". In example (j), the end result is the food security of the targeted pastoral community stabilized. "By maintaining the health of its livestock" is only one way of accomplishing this end result; there may be other means of accomplishing this result. You limit yourself by including the means in a result statement. This is why you should only state the end result you wish to achieve. The same holds true for example (k). You only want to state the end result, i.e. potential impact of flooding mitigated.

Annex 4: Recognized Commodity & Service Standards

Sector	Standard
Emergency Health: Crude Mortality	✍ Decreased death rate in disaster affected population aiming towards less then 1/10,000/day or not higher than the pre-emergency rate. *Source: Sphere/CDC* ✍ Children under 5 mortality rate in disaster affected population is reduced to less than 2/10,000/day or returns to the pre-emergency rate. *Source: Sphere/CDC*
Emergency Health: Control of Communicable Diseases	✍ Diseases of epidemic potential, such as measles, acute respiratory infections, diarrheal disease including dysentery and cholera, malaria and other disease outbreaks are investigated and treated curably and prophylactically according to internationally accepted norms and standards. *Source: Sphere* ✍ A systematic response is mounted for each epidemic or disease outbreak within the disaster-affected population, and the host community population, if necessary. *Source: Sphere*
Emergency Health: Immunization	✍ 90 % of children over 6 months and under 12 years (including newcomers to camps or settlements) are immunized for measles during rapid onset of emergency. *Source: Sphere* ✍ Children under five are immunized for measles, diphtheria-pertussis-tetanus (DPT), polio and BCG during longer-term emergencies. *Source: OFDA* ✍ Resources and facilities permitting 90% of pregnant women and women of childbearing age are immunized for tetanus toxoid (TT). *Source: OFDA/CDC* ✍ On-site supply of vaccines equals 140% of expected target group including 15% for wastage and a 25% reserve stock. *Source: Sphere* ✍ Cold chain is continuously maintained and monitored from vaccine manufacturer to vaccination site: refrigerators between 0 to +8?C, adequate syringes. *Source: Sphere/CDC* ✍ On-site supply of auto-destruct syringes and sufficient WHO recommended "safety boxes" are available for used auto-destruct syringes. *Source: Sphere* ✍ Relevant messages are provided in the local language to the recipient of the vaccination, child's mother or care giver about the vaccination, possible side effects, when to return if re-vaccination is indicated, and the importance of retaining the health record if it exists. *Source: Sphere*
Emergency Health: Measles Control	✍ 90 % of children older than 6 months and younger than 12 years (including newcomers to camp or settlement) are immunized for measles during rapid onset. *Source: Sphere* ✍ All children from age 6 month to 12 years in disaster affected populations receive WHO standard dose of vitamin A supplementation: <2 months of age 100,000 IU >12 months of age 200,000 IU *Source: Sphere*
Health Care Services	✍ Health care in emergencies follows primary care guidelines and targets health problems that cause excess mortality. (See *Sphere*'s *Humanitarian Charter and Minimum Standards: Chapter 7-Health Services* for detailed guidelines) *Source: Sphere* ✍ Minimum organization and staffing requirements(*Source: Sphere*): 1. Community-level: 1 home visitor for 500-1,000 population; 1 supervisor for 10 home visitors 2. Peripheral level: Total of 2-5 health care workers with a minimum of 1 qualified health worker based on 1 person for 50 consultations/day

Sector	Standard
	3. Central health facility level: Minimum of 5 medical staff; 1 doctor, 1 health worker for 50 consultations/day; 1 health worker for 20-30 beds; 1 ORT; 1-2 pharmacy; 1-2 for dressing/injection/sterilization 4. Referral hospital level: 1 nurse for 20-30 beds
Food Aid	*(Focus on general food aid distribution and meeting target population's basic food needs)*
Food Aid: General Food Distribution	✍ The food basket and rations meet the WHO recommended minimum daily food requirement which is 2100 kilocalories per person per day with 10-12% of total calories provided by protein and 17% of the total calories provided by fats. *Source: Sphere/WHO/CDC* ✍ Food basket and rations provide adequate micronutrient intake through fresh or fortified foods. *Source: Sphere*
Nutrition	(*Focus on supplemental, therapeutic feeding and other interventions to maintain or improve nutritional status*)
Nutrition: General	✍ People's nutrient needs are met per mean population requirements (*Source: Sphere and WHO/ joint WFP/UNHCR guidelines*): Energy 2100 kilocalories Protein 10-12% of total energy (52-63 grams) but <15% Fat 17% of total energy (40grams) Vitamin A 1666 IU (or 0.5 Retinol equivalents) Thiamin (B1) 0.9 milligrams (mg) (or 0.4 mg / 1,000 kcal intake) Riboflavin (B2) 1.4 (or 0.6 mg per 1,000 kcal intake) Niacin (B3) 12.0 mg (or 0.6mg per 1000 kcal intake) Vitamin C 28.0 mg Vitamin D 3.2-3.8 micro-grams (ug) calciferol Iron 22mg (low bio-availability, i.e. 5-9%) Iodine 150 ug
	✍ Infants under six months have access to breast milk (or recognized substitute). The procurement of infant formula in emergencies must also adhere to the stipulation of the International Code of Marketing of Breast milk Substitutes (WHO, 1981) which protects breast-feeding from commercial interests. *Source: Sphere* ✍ Public health risk associated with moderate malnutrition, which is defined as -3 to <-2 Z scores weight-for-height (WFH) or 70% to <80% median WFH or < 13.5 cm MUAC for children under 5, and for adults (20 -60 years) 16 to <17 body mass index (BMI) are reduced. *Source: Sphere /OFDA/CDC* ✍ Nutritional and medical care are provided to people who are severely malnourished, defined as <-3Z sores WFH or <70% median WFH or <12.5 cm MUAC+/- or nutritional edema for children under 5 to improve nutritional status. Adults also need to be clinically assessed because of variations in BMI. *Source: Sphere /OFDA/CDC*
Nutrition: Supplemental Feeding	✍ Supplemental feeding should be available for 80% of the moderately malnourished children and should provide at least 350 Kcal and 15 grams protein per day. *Source: OFDA/CDC* ✍ Recovery of supplemental feeding is defined as greater than 80% weight-for-height or Z score of less than –2. For children, they must have maintained more than 85% weight-for-height for at least one month. *Source: Sphere*
Nutrition: Therapeutic	✍ Therapeutic feeding should be available for 90% of severely malnourished children and should provide at least 150 Kcal and 3-4 grams protein per kilo weight per day

Sector	Standard
Feeding	administered during 5-7 meals at 3-4 hour intervals throughout a 24-hour period. *Source: Sphere* ✍ Patients should receive therapeutic feeding until they reach over 80% of weight-for-height and are without edema, after which they should receive supplemental feeding until fully recovered. *Source: Sphere*
Sanitation	✍ Maximum of 20 people per toilet or ideally one per family. *Source: Sphere /State/PRM* ✍ Pit latrine standards are defined as: 1. Site preparation 6-50 meters form the house and not closer than 15 meters to a water source, 2. 75-90 centimeters wide by 1.8-2.4 deep for deep trench latrines and 30 centimeters wide by 90-150 centimeters deep for shallow trench latrines, and 3. Well ventilated. ✍ Trenches should be 3-3.5 meters long per 100 people. *Source: State/PRM* ✍ In camp situations, women have access to public sanitation facilities that have at least one seat per 25 women and are located within 50 meters of the public building. *Source: State/PRM* ✍ 200 grams of soap per family per week. *Source: CDC* ✍ For solid waste disposal 1 refuse pit per 500 population. *Source: CDC*
Water	✍ Access to a sufficient quantity of water for drinking, cooking and personal and domestic hygiene is defined as (*Source: OFDA/CDC):* 1. 15-20 liters of non-contaminated water (<10 fecal coliform per 100 ml or 0.2 per million of chlorine at distribution point) per person per day, 2. At least 1 water point per 200-250 people, and 3. Maximum distance form any shelter to the nearest water point is 100 meters. ✍ Each family has access to a minimum standard of two water collecting vessels of 10-20 liters per family, and a water storage vessel of at least 20 liters. Water collection and storage vessels have narrow necks and/or covers. *Source: Sphere/State/PRM*
Shelter	✍ People have access to shelter meeting minimum standards defined as *(Source: UNHCR 1982 Handbook for Emergencies / CDC)*: 1. 3 meters above the water table, 2. Minimum of 3.5 meters floor area per person, with provision for privacy and security of family, 3. Within 100 meters of a water point supplying a minimum of 15-20 liters/person/day, 4. Having a latrine available 6-50 meters from the shelter (not closer than 15 meters to a water source) ✍ Shelter material is *(Source: Sphere/CDC)*: 1. Strong enough to withstand rain, wind and to discourage theft of household property, 2. Not less that 200 g/m^2, 3. Temperature resistant -20 to +80^o C, 4. Durable for a minimum of three years, after which it will be replaced.
Settlement	✍ People affected by the disaster, including the host community, have at least one blanket per person, as well as clothing and footwear to provide protection from the climate and to ensure their dignity and well-being. (See *CDC Standards and SPHERE Project*

Sector	Standard
	Humanitarian Charter and Minimum Standards: Chapter 6-Shelter and Site for specifics.) *Source: Sphere/CDC* ✍ Families have access to utensils for household work. *Source: Sphere* ✍ At least 5 kg firewood per family per day or appropriate fuel-efficient stoves. *Source: CDC*

Annex 5: What Makes a Good Indicator?

Performance Indicators Quality Standards

- ✍ Direct. Closely tracks progress of the result it is intended to measure. It measures accomplishment of the most significant dimension of the result it pertains to.

- ✍ Objective, credible and familiar. It is unambiguous about what it is measuring, what data it is using, and is widely understood by persons knowledgeable in the sector.

- ✍ Practical, reliable and replicable. It is clear and easy to comprehend, measure, interpret, and communicate. Data can be easily collected and analyzed. The data are stable, consistent and predictable. Others can reproduce it.

- ✍ Sensitive. It can measure small incremental changes over short time intervals.

- ✍ Useful. The performance data generated can be used for management decision-making.

- ✍ Regularly reportable. It is easy to monitor, collect data and report on a regular basis.

- ✍ Cost-effective. Data can be collected, compiled and reported at reasonable cost relative to the scope of accomplishment being measured.

Annex 6: Menu of Indicators

This is the menu of indicators is located in Tab 1.6.2. If you do not find an indicator that you need, you can always add a new indicator to your performance monitoring plan in Tab 1.6.2 by clicking on **Add New Local Indicator**. Developed by USAID/BHR Humanitarian Assistance Performance Monitoring Working Group.

ID	Title	Indicator
1HM01.1	Immunization	Immunization coverage rate – Children under 5 years old
1HM01.2	Immunization	Immunization coverage rate – Pregnant Women (TT)
1HM01.3	Immunization	Immunization coverage rate – General Population (Epidemic) of the Targeted Population
1HM02.1	Infant Mortality Rate	Infant mortality rate (children under 1 years old)
1HM02.2	Child Mortality Rate	Child mortality rate (children under 5)
1HM02.3	Targeted Population Mortality Rate	Mortality rate in the general targeted population
1HM03.01	Morbidity Rates	Morbidity – Prevalence of diarrheal episodes in the targeted population
1HM03.02	Morbidity Rates	Morbidity – Prevalence of cholera in the targeted population
1HM03.03	Morbidity Rates	Morbidity – Prevalence of intestinal worms in the targeted population
1HM03.04	Morbidity Rates	Morbidity – Prevalence of AIDS in the targeted population
1HM03.05	Morbidity Rate – Measles	Number of cases of measles per 10,000 population -- children under five.
1HM04	Low Birth Weight	Number of low birth weight (weighing less than 2500 grams) infants / 10,000 live births in the targeted population.
1HM05	Access to Health Care Facilities	% of people in the targeted population served by health care facilities.
1HM06	Access to ANC/PNC Services	% of pregnant women in the targeted population using ante-natal and/or post-natal care services.
1HM07.1	Health Information Campaigns	% of people in the targeted population reached by health information campaigns. - total targeted population
1HM07.2	Health Information Campaigns	% of women & children in the targeted population reached by health information campaigns. -most vulnerable groups
1HM08.01	Essential Emergency Drugs	Doses of essential drugs distributed to health units on schedule -- antibiotics.
1HM08.02	Essential Emergency Drugs	Doses of essential drugs distributed to health units on schedule -- anti-malaria drugs.
1HM08.03	Essential Emergency Drugs	Doses of essential drugs distributed to health units on schedule -- anti-diarrheal drugs (ORT).
1HM08.04	Essential Emergency Drugs	Doses of essential drugs distributed to health units on schedule -- worms.
1HM08.05	Essential Emergency Drugs	Doses of essential drugs distributed to health units on schedule -- pain relief.
1HM08.06	Essential Emergency Drugs	Doses of essential drugs distributed to health units on schedule -- vitamin supplements.
1HM08.09	Essential Emergency Drugs	Doses of essential drugs distributed to health units on schedule -- other.
1HM09	Emergency Health Protocols	% of patients within the targeted population receiving treatment in accordance with international emergency health protocols
1HM10.1	Breast Feeding	% of infants in the targeted population that are exclusively breastfed from 0-4 months.
1HM10.2	Breast Feeding	% of infants in the targeted population that are exclusively breastfed from 0-6 months.

ID	Title	Indicator
2FN01	Malnutrition	% of children under five in the targeted population at or below pre-determined cut-offs for nutritional status as measured by MUAC, edema (for rapid screening) or weight-for-height.
2FN01.1	Malnutrition	% of children under five in the targeted population at or below pre-determined cut-offs for nutritional status as measured by MUAC, edema (for rapid screening) or weight-for-height.
2FN01.2	Malnutrition	% of adults at or below pre-determined cut-off for nutritional status as measured by average Body Mass Index (BMI)
2FN02.1	Food Consumption	Food consumption/intake per person per day - targeted population
2FN02.2	Food Consumption	Food consumption/intake per person per day - Women/Child-headed households (W/CHHH) - general population - women-headed households - child-headed households
2FN02.3	Food consumption	Number of meals per day per person (targeted communities)
2FN03	Emergency Food Distribution	% of people in targeted population programmed to be provided with minimum pre-established daily caloric and nutrient requirements.
2FN04.1	Farmer Training	% of men in targeted population trained in appropriate farming techniques
2FN04.2	Farmer Training	% of women in targeted population trained in appropriate farming techniques
2FN05.1	Hectares Cultivated	Area cultivated (in hectares.) – camp residents
2FN05.2	Hectares Cultivated	Area cultivated (in hectares.) – Non-camp dwellers
2FN06.1	Weekly Price Trends	Average weekly staple food prices in targeted population markets over past three months. Staple foods - livestock
2FN06.2	Weekly Price Trends	Average weekly livestock prices in targeted population markets over past three months. Staple foods - livestock
2FN06.3	Terms of Trade	Weekly average terms of trade between livestock and selected staple food crops
2FN07.1	Household Possessions	% of targeted households that possess tradable assets - all households
2FN07.2	Household Possession	% of targeted women/child-headed households in the targeted population that possess productive assets - Women-headed households
2FN08	Fuel Efficient Technology	% of targeted households provided with fuel efficient technology
2FN09.1	Household Food Reserves	Number of days of household food reserves: all targeted population households
2FN09.2	Household Food Reserves	Number of days of household food reserves: women/child-headed households in the targeted population
3WS01.1	Sanitation	% of pit latrines completed per pre-established standards - Camps
3WS01.2	Sanitation	% of pit latrines completed per pre-established standards - targeted Communities
3WS02.1	Water Consumption	Average personal potable water consumption (liters/person/day) - Targeted Population
3WS02.2	Water Consumption	Average personal potable water consumption (liters/person/day) Women/child-headed households
3WS03	Water Distribution	% of people in target population programmed to be supplied with adequate potable water.
3WS03.1	Access to potable water	% of people with access to adequate quantity of potable water (target communities)
3WS03.2	Water Distribution	% of people in target population programmed to be supplied with adequate potable water.
3WS04	Water Sources	Average meters traveled to fetch water.

ID	Title	Indicator
3WS05.1	Water Storage	% of targeted population households with adequate facilities and supplies for collecting and storing water.
3WS05.2	Water Storage	% of women/child-headed targeted population households with adequate facilities and supplies for collecting and storing water.
3WS06.1	Sanitation	% of targeted population households with access to adequate sanitation facilities within an acceptable time frame.
3WS06.2	Sanitation	% of women-headed households in targeted population with access to adequate sanitation facilities within an acceptable time frame.
3WS07	Sanitation	% of women with adequate access to public sanitation facilities (not shared with men, where appropriate)
3WS07.1	Appropriate latrines	% of people with access to culturally appropriate latrines
3WS08.1	Sanitation	% of men in targeted population trained in proper construction, use, care and maintenance of pit latrines.
3WS08.2	Sanitation	% of women in targeted population trained in proper construction, use, care and maintenance of pit latrines.
4SS01.1	Emergency Kits – Household Items	% of all targeted population households receiving household items, such as utensils, fuel, cooking devices, etc. within an acceptable time frame.
4SS01.2	Emergency Kits – Household Items	% of women/child-headed households in the targeted population receiving household items, such as utensils, fuel, cooking devices, etc. within an acceptable time frame.
4SS02.1	Shelter	% of households in the targeted population under shelter meeting pre-established standards
4SS02.2	Shelter	% of women/child-headed households in the targeted population under shelter meeting pre-established standards
4SS03.1	Children Education	% of school age children within the targeted population attending basic education classes at least 10 hours per week.
4SS03.2	Children Education	% of school age boys in the targeted population attending basic education classes at least 10 hours per week.
4SS03.3	Children Education	% of school age girls in the targeted population attending basic education classes at least 10 hours per week.
4SS03.4	School Attendance Rate	% of school age children in targeted communities attending school
4SS04.1	Local Capacity Building	Number of public health structures rehabilitated/established.
4SS04.2	Local Capacity Building	Number of schools rehabilitated/established.
4SS04.3	Local Capacity Building	Number of houses rehabilitated/established.
4SS04.4	Local Capacity Building	Number of other structures rehabilitated/established.
4SS05.1	Local Capacity Building	% of targeted communities where basic water/sanitation services have been restored.
4SS05.2	Local Capacity Building	% of targeted communities where basic services have been restored.
4SS05.3	Local Capacity Building	% of targeted communities where basic services have been restored.
4SS05.4	Local Capacity Building	% of targeted communities where transport services have been restored.
5PR01.1	Crimes on Targeted Population	Number of personal and property crimes committed on targeted camp populations.
5PR01.2	Crimes on Targeted Population	Number of personal and property crimes committed on women in targeted camp populations.
5PR01.3	Crimes on Targeted Population	Number of personal and property crimes committed on populations surrounding targeted camps.
5PR02	Access to Information	Availability of adequate and consistent information, services and resources to women, unaccompanied minors, the non-literate, and other vulnerable persons
5PR03	Registration Procedures	Percent of camps with "very easy" procedures for registration, documentation and determination of legal status of individuals (procedures rated 3-very easy, 2-moderate or 1-difficult)
5PR04	Protection	% of camp population trained to perform protection functions according to UNHCR standards.

ID	Title	Indicator
6TS01.1	Livelihood Restored	% of all targeted population households whose livelihoods have been restored.
6TS01.2	Livelihood Restored	% of women/child-headed targeted population households whose livelihoods have been restored.
6TS02	Resettlement	Number of IDPs voluntarily returned to their communities.
6TS03	Repatriation	Number of refugees in neighboring countries voluntarily repatriated to their communities.
6TS04	Non-violent contacts of opposing parties	Number of non-violent contacts among parties to the conflict.
6TS05.1	Volume of Market Activity	Volume of market transactions, and variety of goods & services traded
6TS05.2	Value of Market Activity	Dollar value of market transactions in targeted population markets.
6TS05.3	Variety of Market Activity	The number of different goods available in major weekly markets used by the targeted population.
6TS06	Investment in Fixed Assets	% of total investment in fixed assets vs. liquid assets.
6TS07.1	Rehabilitation Activities	% of targeted population households engaged in rehabilitation activities.
6TS07.2	Rehabilitation Activities	% of women/child-headed targeted population households engaged in rehabilitation activities.
6TS08.1	Local Capacity Building	Number of courts restructured to provide individuals with increased access and recourse.
6TS08.2	Local Capacity Building	Number of schools restructured to provide individuals with increased access and recourse.
6TS08.3	Local Capacity Building	Number of other institutions restructured to provide individuals with increased access and recourse.
6TS09	Demobilization	% of ex-fighters demobilized.
6TS10	Demobilization	% of ex-fighters completing training for integration to civil society.
6TS11	Micro-credit	% of women's groups provided with micro-credit.
6TS12	Human Rights	% of human rights abuse monitors deployed on time.
6TS13	Human Rights	Number of local organizations with trained individuals involved in human rights monitoring.
6TS14.1	Demining	Number of hectares of mined land area reclaimed.
6TS14.2	Demining	Kilometers of roads reclaimed.
6TS15.1	Demining	% of total target population reached with land mine awareness training.
6TS15.2	Demining	% of men in the targeted population reached with land mine awareness training.
6TS15.3	Demining	% of women in the targeted population reached with land mine awareness training.
6TS15.4	Demining	% of children in the targeted population reached with land mine awareness training.
8PM01.1	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	Regional institutional capacity to prevent, mitigate & prepare for disasters (rated 1(very low) - 5 (very high)
8PM01.2	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	% of regional climatologists trained in improved climate forecasting techniques
8PM02	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	% of regional organizations that have developed and implemented effective disaster mitigation and coping strategies
8PM03	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	Host-country institutional capacity to prevent, mitigate & prepare for disasters (rated 1(very low) - 5 (very high)
8PM04	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	Degree of host-country access to improved technologies (rated 1(very low) - 5 (very high))

ID	Title	Indicator
8PM05	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	% of host-country entities that have developed and implemented effective disaster mitigation and coping strategies
8PM06	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	Effectiveness of host-country national search and rescue (SAR) units (rated 1(very low) - 5 (very high)
8PM07	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	% of host-country disaster responders trained in improved managerial and other relevant technologies
8PM08	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	% of host-country climatologists trained in improved climate forecasting techniques
8PM09	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	% of climatologists and policy makers who demonstrate improved skills as a result of the OFDA-supported training and technical assistance
8PM10	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	Capacity of host-country health facilities (e.g., hospitals) able to effectively provide emergency medical care in the wake of disaster/hazard (rated 1(very low) - 5 (very high)
8PM11	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	% of host-country health facilities whose health personnel are trained in emergency medical care
8PM12	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	% of international NGOs with personnel trained to respond to outbreaks of diarrheal diseases (e.g., cholera, dysentery, etc.)
8PM13	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	% of community associations in targeted areas trained in emergency response and mitigation actions
8PM14	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	Timely availability of accurate climate forecasts and related products to policy makers and the at-risk populations (rated 1(very low) - 5 (very high)
8PM15	Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	Timely availability of improved seed varieties to farmers (rated 1(very low) - 5 (very high)
8PM16	Availability of Enhanced Technology: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	Timely availability of improved stock of livestock and small ruminants to farmers and pastoralists (rated 1(very low) - 5 (very high)
8PM17	Host-Country Institutional Capacity: Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	Existence of host-country disaster mitigation strategy (Yes/No)
8PM18	Institutional Capacity for Disaster Prevention, Mitigation & Preparedness(PMP)	Degree to which host-country disaster mitigation strategy is incorporated into urban planning (rated 1(very low) - 5 (very high)
8PM19	Strengthened local community	% of farm households and pastoralists that have access to climate information and recommended coping strategies
8PM20	Strengthened local community	% of farm households and pastoralists that have adapted recommended mitigation and coping strategies
8PM21	Strengthened local community	% of at-risk communities reached with awareness campaigns
8PM22	Strengthened local community	% of at-risk communities aware of the consequences of natural disasters and coping strategies
8PM23	Strengthened local community	% of at-risk communities that have adapted recommended mitigation and coping strategies
8PM24	Strengthened local community	% of farmers that have adapted recommended farming techniques/systems and coping strategies
8PM25	Strengthened local community	% of arable land planted with improved seed varieties
8PM26	Strengthened local community	Farmer productivity - average yields per hectare (selected crops)

ID	Title	Indicator
8PM27	Strengthened local community	Farmer productivity -average income per hectare (targeted areas)
8PM28	Strengthened local community	Farmer productivity - value of livestock (targeted areas)
8PM29	Reduced vulnerability of at-risk populations	Estimated economic loss - # of homes lost
8PM30	Reduced vulnerability of at-risk populations	Estimated economic loss - value of farms/crops lost
8PM31	Reduced vulnerability of at-risk populations	Estimated economic loss -value of road infrastructures lost
8PM32	Reduced vulnerability of at-risk populations	Estimated economic loss -value of other infrastructure (i.e., hospitals, schools, warehouses, etc) lost
8PM33	Reduced vulnerability of at-risk populations	Estimated economic loss -value of lost revenue from domestic operations and exports

Annex 7: Sample Grant Proposal

To see a sample grant proposal, choose Grant Proposal from the main menu. Select the Grant ID called “Sample”. Then click the preview or print button.

Annex 8: Glossary of Terms from BHR

Developed by USAID/BHR Humanitarian Assistance Performance Monitoring Working Group

Term	**Definition**
Affected Populations	Total number of people displaced, injured, lost family member or friends, lost productive assets or livelihood, drawn into conflict, plus those people whose livelihood, incomes and well-being have been influenced by complex, natural or man-made disasters.
Assessment	The process of determining the impact, on a society, of a crisis or event, prior to, during, and/or after the event or crisis. An assessment determines the needs for immediate emergency measures to save and sustain lives and reduce suffering of the affected population, and calculates the possibilities for expediting recovery and development. It also evaluates capacities of local populations to cope with the crisis. The assessment process could be formal, rigorous and scientific, to anecdotal and impressionistic.
Beneficiaries	Members of affected populations who are receiving humanitarian assistance.
Complex Emergencies	Crises which are usually caused or complicated by civil breakdown or strife. Although complex emergencies can only be resolved by a political solution to the root causes of the crisis, humanitarian assistance is necessary in the interim to save lives and reduce human suffering. (OFDA).
Conflict Resolution	The term conflict resolution encompasses various concepts related to conflict. All the other terms refine conflict resolution processes or actions, or make distinctions between diplomatic or non-diplomatic actions, or intervention versus non-intervention strategies. Conflict resolution is generally a nonviolent process for relationship building, collaborative problem solving, and dialogue to lay the groundwork for productive negotiation and agreement.
Conflict Management	Short-term interventions to contain conflict, ameliorate the symptoms of conflict, or reduce the suffering caused by conflict. The term also includes such strategies as political engineering and economic redistribution. Generally, it does not deal with the root causes of conflict or with the negotiation process between conflicting parties.
Context-Specific Programming	An approach to programming that reflects the combination of variables which distinguish the context of each disaster, such as gender, the environment or social and political networks. It links humanitarian assistance directly to assessed needs of targeted population within the context of the host-country conditions.

Term	Definition
Coping mechanisms	Behavior or activities people engage in to deal with a crisis, such as consuming wild foods, selling assets like jewelry, tools, livestock, household furnishings, land, etc.
Critical Assumptions	General conditions under which a program's hypothesis will hold true or conditions which are outside of the control or influence of the implementing organizations and which are likely to affect achievement of a stated results and performance targets.
Demobilization	The process of converting a fighter into a civilian. A fighter is in the process of **demobilizing** when he or she has reported to an assembly area or camp, has surrendered his or her weapon and uniform, but is awaiting final discharge. Observers are usually present to ensure that weapons are in fact surrendered and stored in a secure location. Personnel in assembly areas usually register the soldiers for receipt of benefits, whether cash or in-kind. A fighter is **demobilized** when he or she has received discharge papers and has left the assembly area. Reporting to an assembly area is not always a component, even in a post-conflict demobilization.
Demobilized Fighters	Former government as well as opposition group fighters who have gone through a formal disarmament and training process, and who are dismissed from military service or their future is not determined.
Disaster	A calamitous event resulting in loss of life, great human suffering and distress and larger scale material damage. (IRC)
Disaster Victims	People whose day-to-day life patterns are disrupted by complex, natural or man-made disasters, including those who were displaced from their homestead or made homeless, were injured, lost a family member, lost productive assets, or lost their livelihood.
Disaster Response Planning	Efforts to lessen the impact of disaster before it occurs, including consideration of contingency measures.
Disaster Preparedness	Activities directed at managing disaster response quickly and effectively in the event a disaster occurs. Disaster preparedness aims to limit the impact of a disaster by structuring the response and providing quick and effective actions after the disaster.
Disaster Mitigation	Risk reduction measures implemented before, during and after a crisis or hazard to reduce and limit the impact of the crisis on people and economic assets.
Disaster Prevention	Measures taken to avert the occurrence of a hazardous event.
Effect indicators	Indicators that gauge the degree of behavioral change, such as changes in people's attitudes toward gender issues, or change in people's perception on the need to vaccinate their children, etc.

Term	Definition
Emergency Assistance	*Pre-emergency, During emergency, and Post-emergency assistance:* ✍ *Pre-emergency assistance* is the term used to indicate program activity and policy directives focused on pre-emergency, or pre-disaster assistance. Typically, these programs include: early warning systems, preventive actions, preparedness, mitigation, etc. Many experts include "traditional" development activities as part of the "before" efforts focused on prevention. ✍ *During emergency assistance* is the term used to indicate program activity and policy directives focused on assistance, relief, and aid activities during the emergency or disaster. Typically, these program activities include: logistical support (medical/health, food, water/sanitation, and shelter), repatriation, and security. ✍ *Post-emergency assistance* is the term used to indicate program activity and policy directives focused on post-emergency, or post-disaster assistance. Typically, these programs include: reconstruction, rehabilitation, reconciliation, repatriation, demining, demobilization, reintegration, preparedness, etc.
Endemic	Present continually in a community.
Epidemic	An outbreak of an infectious disease which disrupts the community and overwhelms the capacity of local health services. (WHO, 1996)
Ex-combatants	Former members of fighting parties/factions, involved in civil conflict or strife.
Exit Strategies	Plans for phasing out assistance.
Goal	A higher level result to which a program contributes and which has been identified by the implementing organization. Achievement of a program goal is conditional on accomplishment of one or more objectives in the program's overall plan.
Hazard	A phenomenon having duration, magnitude and intensity that is potentially damaging and implies a risk to populations because of the potential for its occurrence (based on OECD 1994, p7).
Indicators	Measures of effects on program beneficiaries. The well-being and welfare of people are the central measures.
Impact indicators	Indicators that measure fundamental change in human conditions of the targeted population, such as mortality, morbidity, etc.
Indirect Beneficiary	Members of an affected population who are not receiving direct assistance but who, nevertheless, benefit from the assistance being given to their relatives, neighbors, friends or community.
Input Indicators	Measures of the means by which a stated result/objective is achieved. These track the use of human and financial resources, and identify the

Term	Definition
	type and amount of resources and the reasons they were provided.
Intermediate Result	A near-term (interim) result which must occur in order to achieve an objective.
Intermediate Result	A key result which must occur in order to achieve a strategic objective.
Internally Displaced People	Internally displaced persons may have been forced to flee their homes for the same reasons as refugees, but they have not crossed an internationally recognized border (UNHCR)
International Standard	An accepted measure for a humanitarian assistance commodity or service delivery recommended by relevant international organizations (UNDHA, UNHCR, WHO, ICRC, etc.) Or by United States Government humanitarian assistance agencies (CDC, USAID/BHR, STATE/PRM, etc.) Or by consortia of private voluntary organizations engaged in humanitarian assistance (the SPHERE Project, In terAction, FAM, etc.)
Linking Relief to Development	Deploying relief resources in a manner that not only saves lives and reduces human suffering, and also leads to self-reliance.
Man-made Disasters	Humanitarian emergencies caused by humans. (OFDA)
Measurable	Can be determined quantitatively or qualitatively and used as a basis for comparison.
Mediation	A process in which a third party helps others to resolve a dispute or plan a transaction but does not have the power or aspiration to impose a solution.
Mitigation	Reduction of disaster impact compared to activities to reduce the impact of a disaster, generally taken prior to its occurrence, including preparedness and long-term risk-reduction measures (Coburn et al. 1991, p. iii).
Monetization	The developmental concept which is defined as the sale of commodity aid, including food aid, for local currency. From “monetized” commodities local currency or “counterpart funds” are generated. Donors often but not always retain some control over the programming or use of the funds generated by monetization countries.
Morbidity	The incidence or prevalence of a disease or of all diseases in a population (OFDA).
Mortality Rate	Also known as **death rate**. A ratio of deaths/ 10,000 persons/day, based on the number of deaths times 10,000 divided by the number of days times the population. (OFDA)
Needs Assessment	The determination of what assistance is needed by a region or a country following a disaster.

Term	Definition
Natural Disasters	Humanitarian emergencies which are caused by hydro-meteorological and geophysical hazards. (OFDA)
Objective	The end result sought; an intended measurable change that a program's activities can materially affect. A program can have one or more objectives which lead to a broader goal. It also serves as the standard by which organizations are willing to be judged in terms of performance; the most ambitious result that program implementers are willing to be responsible for.
Output Indicators	Measures of the outputs generated (for example, the number of search and rescue teams trained).
Output/process indicators	Indicators that measures the direct outcome of an intervention, such as number of people trained, number of liters of water distributed, etc.
Performance	Progress toward achievement of a stated result/objective.
Performance Baseline	The value of a performance indicator just prior to activity implementation. A performance baseline is typically the starting point used when measuring progress toward a specific result or objective.
Performance Indicators	Characteristics or variables used for measuring progress toward achievement of stated results. Performance indicators show the status of an intended outcome at a point in time. In general they do not show changes. Comparison of the observations from one time period to another demonstrate the changes.
Performance Measurement	The process that organizations follow to measure how well they are meeting their stated objectives. It involves clarifying and agreeing on organizational goals, developing performance indicators to track progress, establishing baseline data, and setting targets for future performance.
Performance Monitoring	The continuous process of collecting and recording data and analyzing and measuring progress toward achievement of a stated result/objective.
Performance Target	The value of the performance indicator to be achieved within an explicit time frame against which actual results are compared and assessed.
Performance Monitoring Plan	A detailed plan for managing the collection, recording, analysis and reporting of data in order to measure progress toward achievement of the results and objectives explicitly outlined in an office's results framework. A performance monitoring plan: identifies indicators to be tracked; specifies the source and method of data collection; establishes a schedule of collection for each piece of datum required; and assigns responsibility for collection to a specific office, team or individual.
Performance Target	The value of a performance indicator to be achieved within an explicit time frame against which current performance is compared.

Term	**Definition**
Performance Indicators	Variables or factors used for measuring achievement of a particular characteristic or dimension of a specified result.
Performance Baseline	The value of a performance indicator prior to activity implementation. A performance baseline is one element used in measuring progress toward a specific result or objective.
Pipeline Shortages	Situations in which there are insufficient emergency commodities and supplies at critical points in the procurement and distribution system that affect achievement of planned program requirements.
Pipeline Shortages	Situations in which there is insufficient food at critical points in the food procurement and distribution system that effect achievement of planned program requirements.
Planning	Pre-planning relates to strategizing efforts and actions to reduce the impacts of disasters before they occur. Post-disaster planning involves strategies to cope with existing damage and to design a system of actions toward preventing or mitigating future disasters.
Population at-risk	People increasingly affected by complex, natural or man-made disasters. They are at-risk due to the disruption or loss of their normal community and social support systems that provide the basic necessities for survival: health care, water/sanitation, food, and shelter.
Preventive Action	Attempts to defuse crises before they erupt into violence.
Process Indicators	Measures of the implementation aspects of emergency assistance activities.
Preparedness	
Prevention	Measures aimed at impeding the occurrence of a hazard event and/or preventing the event from causing harm (OECD 1994, p.8).
Quantifiable	That which can be expressed or explained numerically either using statistical methods or simple counting procedures.
Re-calibration of Emergency Assistance	A continuous process of assessing beneficiary vulnerability and adjusting emergency and transitional response as appropriate.
Reconciliation	The process of restoring compatibility between formerly antagonistic groups or individuals. The concept also includes the process of adjustment to changes after stressful events.
Reconstruction	Actions taken to re-establish a community after a period of rehabilitation subsequent to a disaster. Actions focus on physical structures and longer term post-disaster activities, and would include construction of permanent housing, full restoration of all services, and complete resumption of the pre-disaster state. (UNDHA, OFDA)

Term	Definition
Refugees	Persons recognized to be outside their country of nationality or habitual residence (henceforth “of origin”). They include: ? Persons recognized as refugees by the Host Government having ratified the 1951 United Nations Convention Relating to the Status of Refugees, and/or its 1967 Protocol; ✍ Persons recognized as refugees under the 1969 Organization of African Unity (OAU) Convention Governing The Specific Aspects Of Refugee Problems In Africa and those recognized in accordance with the principles enshrined in the Cartagena Declaration; ✍ Persons recognized by UNHCR as refuges in accordance with the Statute (otherwise referred to as “mandate” refugees); ✍ Those who have been granted a humanitarian (i.e., non-Convention) status in Europe, North America and Oceania; ✍ Persons, particularly in Europe, who have been granted temporary protection on a group basis. (UNHCR)
Rehabilitation	Assistance that addresses problems created by a disaster event which is needed to restore victims and affected communities to self-sufficiency. (OFDA)
Reintegration	The process of facilitating the transition of refugees and IDPs back into their communities of origin. In the context of ex-soldiers, it is the process of facilitating their return to civilian life.
Repatriation	The return of refugees back to their country of origin. Different types of repatriation are recognized: forced, voluntary, "spontaneous", and assisted. Some experts claim that repatriation means the return of refugees back to the *community* of origin.
Resettlement	Actions necessary for the permanent settlement of persons dislocated or otherwise affected by a disaster to an area different from their last place of habitation (UNDHA).
Resettlers	Internally displaced people, refugees, ex-combatants, and workers returning to their homestead and/or livelihoods or settle in a different area after crisis.
Returnees	Refugees, displaced people, migrant workers or other groups returning to their place of origin or country of origin.
Risk	Consists of three components: the probability of occurrence of a hazard of specified magnitude, identification of the elements that would be affected if the hazard event occurred, and the vulnerability of those elements to the hazard (Coburn et al. 1991, p.52).
SPHERE Project	A project initiated in 1997 as a broad collaborative effort of many large and small relief agencies and donors. Its aim is to reach common agreements for humanitarian emergency activities, covering five

Term	Definition
	essential “life saving” sectors on the basis of humanitarian principles. The five technical areas are water/sanitation, health, nutrition, food aid, and site/shelter. Website: http://www.ifrc.org/pubs/sphere and address: SPHERE Project P.O. Box 372, 1211 Geneva 19, Switzerland.
Strategic Objective	The end result sought; the standard by which organizations are willing to be judged in terms of performance; the most ambitious result that program implementers are willing to be responsible for; and a result pursued through clear program strategies that trace causal linkages to intermediate results and interventions. (USAID)
Targeted Groups	Groups within the affected population that have been singled out to receive specific assistance.
Targeted Population	Beneficiaries chosen for assistance based on anthropometric or socioeconomic criteria.
Time line	Set of planned actions from the beginning to the end of a planned intervention which also include the preparatory and post program planning and evaluation.
Transition	Rapid (or marked or dramatic) change in political, economic, social, and/or other arenas, which institutions, communities, and/or individuals have difficulty accommodating. The term embraces all kinds of transformations, such as technical, environmental, political or personal security changes. Transitions may be reflected in rapid succession or simultaneous occurrence of manifestations like tensions, confrontation and violence. Likewise, progress towards cease-fires, negotiated settlements or military intervention may indicate a transition. In BHR’s context, transitions are usually a rapid change from relief operations to reconstruction and sustainable development, recognizable by simultaneous relief and development activities (OTI).
USAID Regulation 26	Administration of Assistance Awards, available on the USAID website at http://www.ingo.usaid.gov
Vulnerability	Circumstances and conditions outside our direct control that put us and our ability to function, at-risk. Vulnerability can be classified into physical, social, mental or spiritual categories
Vulnerable Populations	War Affected Groups that (a) are susceptible to natural or man-made disasters and b) would not be able to ride out the crisis without external emergency assistance. People directly and/or indirectly affected by civil conflict and armed resistance.
Weight-for-Height	Method of measurement to assess the nutritional status of young children by comparing the weight and height of random samples of the child population (less than 60 months) of an area at regular intervals (OFDA). See also **Z-Score**.

Term	Definition
Z-Score	New standard measurement used during nutritional surveillance. "Z" represents the median. A Z-score represents the standard deviation above or below the median. Children with Z-scores of less than -2 are considered malnourished. Z-scores of less then -3 are considered severely malnourished (OFDA).

Annex 9: Glossary of Terms from ADS

Developed by Automated Directives System (ADS), USAID/PPC/CDIE

For full definitions of terms like evaluation, objective and result from the Agency's Bureau of Policy and Program Coordination (PPC), see http://www.info.usaid.gov/pubs/ads/

Annex 10: HARRIS Feedback

The current HARRIS Version 2.0 is *not* a perfect software system! As a pilot user of this program, you are very likely to discover things that HARRIS should do better, things that it should do that it doesn't, and things that it doesn't do that it should.

OFDA leadership is committed to streamlining reporting processes by using systems like HARRIS in the future. There may be a radically redesigned version of HARRIS available in the next few years. If you have ideas, large or small, about how HARRIS could be improved to meet your needs, please contact the people listed on the inside cover of this manual. We will be happy to talk with you by telephone or in person to learn from your experience.

Your input will ensure that the whole OFDA community benefits from your experience. Thank you.

Annex 11: HARRIS Order Form

Please help spread the word about the HARRIS program to others in the OFDA community. If other colleagues are interested in ordering a copy of the HARRIS IP Module, please give them a copy of the attached Brochure and Order Form.

U. S. Agency for International Development (USAID)
Bureau for Humanitarian Response (BHR)
Office of U. S. Foreign Disaster Assistance (OFDA)

Humanitarian Assistance Results Reporting Information System (HARRIS)

Introducing HARRIS, a free software package available from OFDA to facilitate grant proposal writing and report writing for OFDA's field programs. Intended for PVOs and NGOs who receive disaster assistance grants from OFDA.

Benefits for you

- Automatically formats grant proposals and other reports to follow OFDA's *Grant Proposal and Reporting Guidelines*, published in October 1998 (see www.info.usaid.gov/ hum_response/ofda/files/pvoguide.pdf).
- Pulls information from grant proposals (such as names, addresses, and reporting parameters) for use in later progress reports.
- Eases the writing and submission of grant modification requests.

Benefits for OFDA

- Automates grant data collection.
- Allows OFDA to analyze trends in programming.
- Provides more and better information to justify funding for OFDA programs.

Why use HARRIS?

- To shorten time and eliminate guesswork in writing and sending grant proposals and reports.
- To standardize data formats throughout the bureau.
- To submit reports electronically from the field.
- To improve credibility of OFDA programming through clear and uniform reporting.

How to use HARRIS

- Comes on a compact disk (CD-ROM) to be loaded into a personal computer.
- Comes with a user's manual and telephone numbers to call for support.
- Can be installed on a Local Area Network (if there are several users).

For more information about monitoring and evaluation in OFDA's programs, please contact:

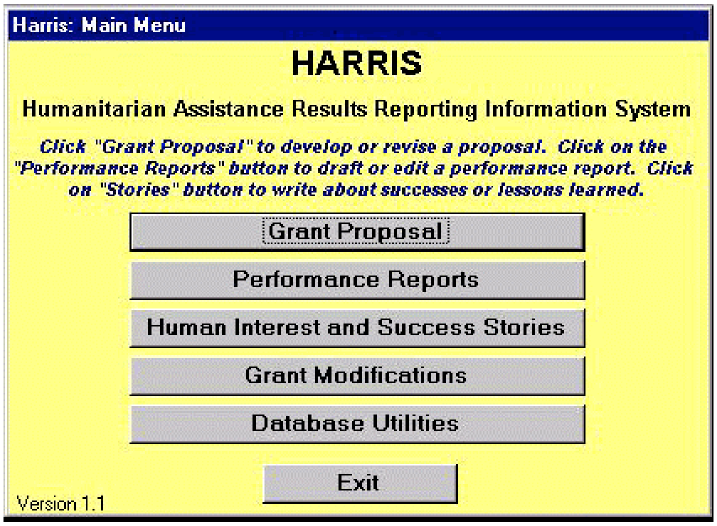
Juanita Rilling
USAID/BHR/OFDA
Room 8.07-096
Ronald Reagan Building
1300 Pennsylvania Ave., NW
Washington, DC 20523-8602 USA
Telephone: 1 (202) 712-5051
Jrilling@usaid.gov

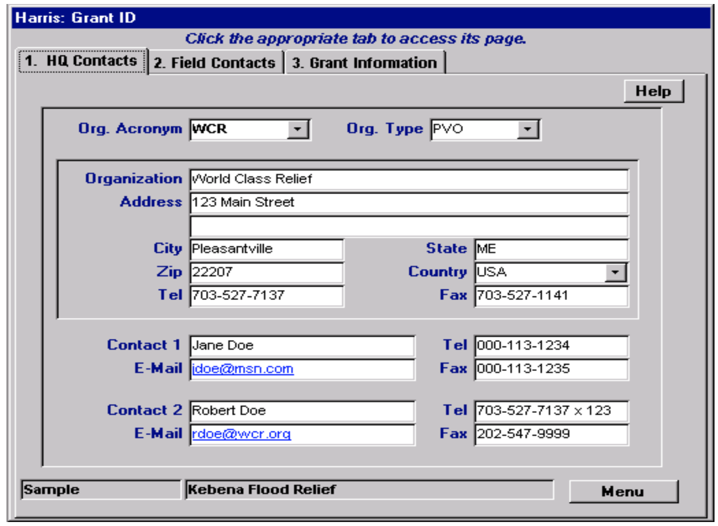
For questions about how to get HARRIS or use HARRIS, please contact:

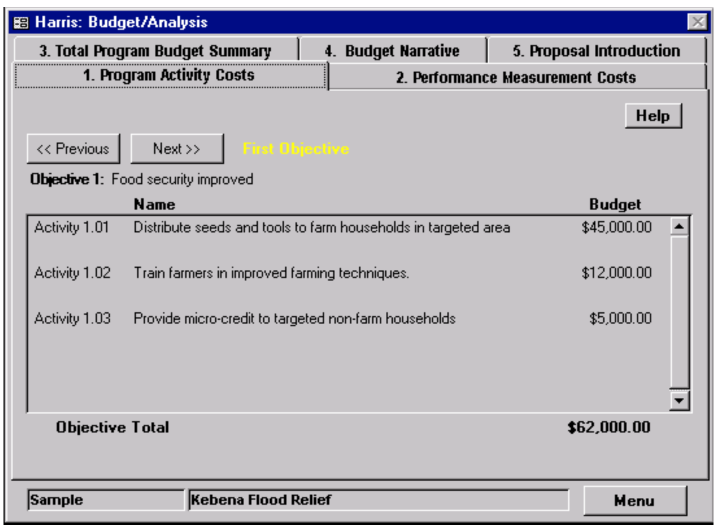
Elizabeth Osborn
Integrated Managing For Results Contract
PricewaterhouseCoopers LLP
1616 North Fort Myer Drive
Arlington, VA 22209-3100 USA
telephone: 1 (703) 516-8635
elizabeth.osborn@us.pwcglobal.com

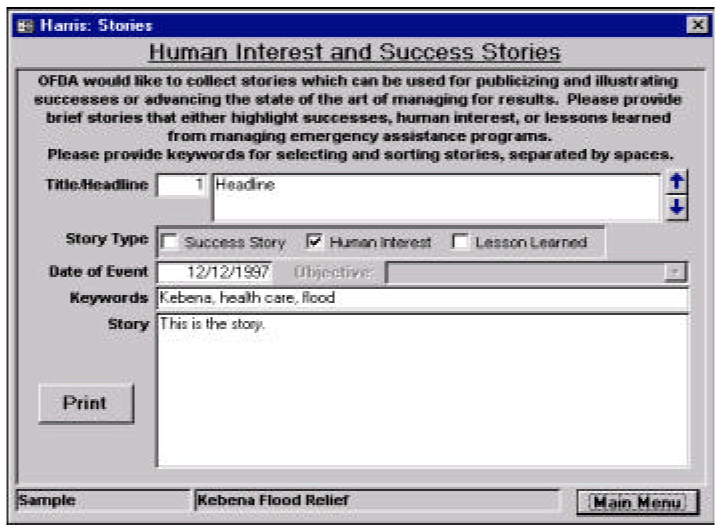
09/07/2000

Examples of HARRIS screens:









How HARRIS works:

Field offices enter grant information into HARRIS IP and generate hard copy reports as needed:

- Grant proposals
- Mid-term performance reports
- Grant modification requests
- Final performance reports

Field offices send reports electronically to their headquarters or OFDA

OFDA consolidates information from multiple grants and generates reports:

- Data consolidation
- Data analysis
- Performance reports
- Management reports
- Budget justifications

09/07/2000

U. S. Agency for International Development (USAID)
Bureau for Humanitarian Response (BHR)
Office of U. S. Foreign Disaster Assistance (OFDA)

Order Form for
Humanitarian Assistance Results Reporting Information System (HARRIS)

Thank you for your interest in using the HARRIS software. We are currently making improvements to HARRIS based on feedback we have received from other pilot testers. We expect HARRIS Version 2.0 to be ready in the middle of February, 2000 and will send you a copy as soon as it is ready.

1. Are you planning on using HARRIS to write a grant proposal or report? Yes / No

2. If not, who will be the contact person?

3. How many proposals did you submit to USAID/OFDA in the last six months, and how many proposals do you expect to submit in the next six months?

4. Do you have a computer with a CD-Rom drive? Yes / No

5. How can we contact you? Please provide the following information.

Name	
Position/Title	
Organization Name	
Mailing Address*	
City	
Country	
Telephone number(s)	Country code: Number(s):
E-mail address	

*Shipments will be sent using DHL, which requires a street address instead of a post office box.

6. Do you know of any other PVO or NGO staff who would be interested in using the HARRIS software?

Please return your information to:

Elizabeth Osborn, Integrated Managing For Results Contract
PricewaterhouseCoopers LLP
1616 North Fort Myer Drive
Arlington, VA 22209-3100 USA
telephone 1 (703) 516-8635; facsimile 1 (703) 322-3991
elizabeth.osborn@us.pwcglobal.com

On behalf of Juanita Rilling (jrilling@usaid.gov) and USAID/BHR/OFDA

09/07/2000